

# CONTINUING HIGHER EDUCATION REVIEW

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## *Continuing Higher Education Review*

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#### **Guidelines for contributors:**

The *Continuing Higher Education Review*, a journal that supports the mission of the University Continuing Education Association (UCEA), is intended for leaders in higher education nationally and internationally as well as continuing education professionals. The *Review* solicits articles for publication and also considers non-solicited articles and notes to ensure a broad range of essays on topics of relevance to the profession. Editorial criteria include the article's relevance to issues of national and international importance in continuing education, its potential for stimulating the readership to engage not only in further scholarly discourse but also in meaningful institutional action, and its substantive content and clarity of exposition. Solicited articles will contain 4,000–6,000 words. Other articles will range from 1,500–4,000 words. Notes will generally not exceed 1,500 words. In all cases, manuscripts must conform to the style guidelines contained in the latest edition of one of the following: *Publication Manual of the American Psychological Association* or *The MLA Handbook for Writers of Research Papers* (Gibaldi, Modern Language Association of America). Hard copy of manuscript should be sent to Michael Shinagel, Editor, *Continuing Higher Education Review*, 51 Brattle Street, Cambridge, MA 02138-3722; an electronic version can be sent to [ishikawa@hucee7.harvard.edu](mailto:ishikawa@hucee7.harvard.edu). All submitted articles will be acknowledged upon receipt of the manuscript, and every effort will be made to ensure timely review. Once the editorial board and reviewers have reached a decision, a notification will be sent out immediately.

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# Contents

Editor's Note .....	1
ESSAYS AND ADDRESSES	
ON ISSUES OF HIGHER EDUCATION	
Building a University for a Changing World.....	7
<i>Freeman A. Hrabowski III</i>	
The Corporation of Learning: Nonprofit Higher Education	
Takes Lessons from Business .....	19
<i>David L. Kirp</i>	
Must Accreditation Change to Accommodate	
Public Accountability Expectations? .....	41
<i>David Longanecker</i>	
ARTICLES ON ASPECTS OF CONTINUING EDUCATION	
Measuring the Value of Continuing Education—	
Application of the Value Creation Index .....	49
<i>Daniel Shannon</i>	
University of Wales, Lampeter: Perceived Value and E-Learning....	61
<i>Ian Roffe</i>	
Graduate Programs as Professional Learning	
Communities: A Case Study of The Johns Hopkins	
Master of Arts in Teaching Program.....	81
<i>Amy Marie Yerkes, Elaine M. Stotko, and J. Thomas Husted</i>	
An International Comparison	
of Adult Learning Participation and Policies.....	92
<i>Beatriz Pont</i>	
Reflections on Mexican Continuing Education.....	102
<i>Martin Ireta</i>	
Collective Bargaining and Governance Agreements	
with Distance Learning Faculty.....	112
<i>Dirk Messelaar</i>	

## CONTENTS

Student Financial Resources for Working Adults: Investing  
in the Education of the Current American Workforce  
to Meet the Challenges of the Twenty-First Century Workplace .... 125  
*Darlene Fischer Zellers*

### PROGRAM NOTES

The Great Plains Interactive Distance Education Alliance ..... 141  
*Virginia M. Moxley and Sue C. Maes*

### UCEA NEWS

*Highlights/Overview of the 88th Annual UCEA Conference*  
The Next University: Emerging Agendas ..... 157  
*Daniel Shannon*

*89th Annual UCEA Conference*  
The New Majority ..... 168

2003 UCEA Outstanding Program and Book Awards ..... 171

### BOOK REVIEWS

Increasing Faculty Diversity: The Occupational Choices  
of High-Achieving Minority Students ..... 179  
*Reviewed by Dean Whitla*

The Future of the City of Intellect:  
The Changing American University ..... 185  
*Reviewed by Sol Gittleman*

Capsule Reviews ..... 191  
*Wayne Ishikawa*

# *Editor's Note*

THE COVER FORMAT OF THIS YEAR'S ISSUE OF THE *Continuing Higher Education Review* (CHER) is slightly different than the previous five issues we have edited and published from Harvard. For our new cover format we are indebted to Kay Kohl, Executive Director of the University Continuing Education Association (UCEA), who used the professional services of a designer to produce an attractive and distinctive format for all UCEA publications, now including CHER.

The contents of this issue follow the traditional divisions of previous issues. The section on "Essays and Addresses on Issues of Higher Education" opens with a keynote address from the annual UCEA conference last March in Chicago by Freeman A. Hrabowski III, President of the University of Maryland Baltimore County, on the timely topic of "Building a University for a Changing World." Drawing inspirationally upon his mother and his experiences as a university president, he comments insightfully on both the challenges of our society and the opportunities for the university in the new century.

In "The Corporation of Learning: Nonprofit Higher Education Takes Lessons from Business," David L. Kirp, Professor of Public Policy at the University of California-Berkeley, presents a spirited examination of "the raw power that money—and an ethic that gives pride of place to the things that money can buy—directly exerts over so many aspects of higher education." His essay, excerpted from his forthcoming book *Shakespeare, Einstein, and the Bottom Line: The Marketing of Higher Education* (Harvard University Press, November 2003), focuses on the University of Virginia as a test case for what he terms "the privatization of public higher education."

Finally, David Longanecker, Executive Director of the Western Interstate Commission for Higher Education and former Assistant Secretary for Postsecondary Education during the Clinton administration, raises the question of "Must Accreditation Change to Accommodate Public Accountability Expectations?" As he notes, the affirmative answer to the question is easy, but explaining why and how it must change is more complex, as is the question of to whom are institutions accountable, the state and federal government representing the public or the academy?

The expanded section of "Articles on Aspects of Continuing Education" reflects the expanding scope and diversity of UCEA member institutions in

## EDITOR'S NOTE

terms of our educational interests and best practices. Daniel Shannon, Dean of the Graham School of General Studies at the University of Chicago, raises the issue of "Measuring the Value of Continuing Education—Application of the Value Creation Index." His article focuses on the process and outcomes of identifying such key intangibles as leadership, brand, strategy execution, benchmarking, and initiatives for improved performance of what he calls "drivers of value in the continuing education organization."

Ian Roffe, Director of the Centre for Enterprise at the University of Wales, Lampeter, analyzes his own institution, the oldest university in Wales, in "University of Wales, Lampeter: Perceived Value and E-Learning" to demonstrate how "e-learning can create value, reduce costs, or achieve a combination of both." He shows how the parameters of Perceived User Value and Perceived Price create a matrix to plot how changes in value or price can maintain a competitive advantage in e-learning.

In "Graduate Programs as Professional Learning Communities: A Case Study of The Johns Hopkins Master of Arts in Teaching Program," Amy Marie Yerkes, Associate Dean for Academic Programs, Elaine M. Stotko, Chair of the Department of Teacher Preparation, and J. Thomas Husted, Coordinator of Project SITE-SUPPORT, describe how the faculty in The Johns Hopkins Graduate Division of Education developed a new model for teacher preparation programs that created a dynamic professional learning community for graduate degree candidates that supported them as they pursued their degrees and embarked on their early years as teachers.

Beatriz Pont, Administrator at the Education and Training Policy Division, Organization for Economic Cooperation and Development (OECD), in her article on "An International Comparison of Adult Learning Participation and Policies," surveys participation trends in selected OECD countries and analyzes different policy responses taken by governments to improve access and participation.

In "Reflections on Mexican Continuing Education," Martin Ireta, Director of the Continuing Education Center at the Universidad de Monterrey, presents an overview of the current state of higher education in general and continuing education in particular in Mexico. He discusses regional differences and concludes by outlining the conditions necessary for continuing education in Mexico to develop so that its role in the North American Free Trade Association (NAFTA) can be competitive.

Dirk Messelaar, Dean of Corporate, Continuing, and Distance Education at the University of Massachusetts Boston, discusses "Collective Bargain-

ing and Governance Agreements with Distance Learning Faculty" at the Boston and Amherst campuses of the University of Massachusetts in terms of management, academic accountability, intellectual property, compensation, and training and technical support, both from the faculty and from the administration perspectives, with lessons learned from both sides.

"Student Financial Resources for Working Adults: Investing in the Education of the Current American Workforce to Meet the Challenges of the Twenty-First Century Workplace" by Darlene Fischer Zellers, Associate Dean of the College of General Studies at the University of Pittsburgh, presents a detailed summary of the American workforce, especially part-time adult students in higher education, and the financial resources available to them, such as federal assistance programs, federal tax provisions, state aid, and employer educational assistance programs. She proposes policy changes for new legislation that will provide financial assistance to working adults.

In the "Program Notes" section we offer a presentation on "The Great Plains Interactive Distance Education Alliance" by Virginia M. Moxley, Associate Dean of the College of Human Ecology, and Sue C. Maes, Senior Development Officer, both of Kansas State University. The Great Plains Interactive Distance Education Alliance, of which Ms. Moxley is Chair of the Board of Directors, is a consortium of ten human services colleges located in ten states that draws on an inter-institutional team of faculty that offer distance education master's degrees and graduate certificates. Founded in 1994, the Alliance was designed to provide educational opportunities through distance education to rural professionals at the graduate level. The authors discuss the development of the Alliance, its culture, principles, policies and practices, and how it serves as a model for the future.

The section devoted to "UCEA News" features a summary of the highlights of the 88th Annual UCEA Conference held in Chicago in March 2003, a description of the Outstanding Program and Book Awards from the 2003 UCEA Conference, and an exciting preview of the theme of the 89th Annual UCEA Conference, "The New Majority," scheduled for San Antonio, Texas, April 14–16, 2004.

The "Book Reviews" section includes detailed reviews of *Increasing Faculty Diversity: The Occupational Choices of High-Achieving Minority Students* by Stephen Cole and Elinor Barber (Harvard University Press, 2003), and *The Future of the City of Intellect: The Changing American University*, edited by Steven Brint (Stanford University Press, 2002), as well as capsule reviews by

## EDITOR'S NOTE

Wayne Ishikawa of *The Changing World of School Administration*, edited by George Perrault and Fred Lunenberg; *Evaluation for Continuing Education: A Comprehensive Guide to Success* by Alan B. Knox; *Educating Citizens: Preparing America's Undergraduates for Lives of Moral and Civic Responsibility* by Anne Colby, Thomas Ehrlich, Elizabeth Beaumont, and Jason Stephens.

In closing, on behalf of the editorial staff and the Editorial Advisory Committee for CHER, I express my appreciation to all the contributors to this issue for their thoughtful and informative essays, addresses, articles, notes, and reviews, which represent some of the best ideas, best policies, and best practices of higher education in general and continuing higher education in particular. We extend our thanks to Kay Kohl and the UCEA staff in Washington, DC, to the members of the CHER Editorial Advisory Committee, to Past President John Ebersole and current President Muriel K. Oaks. Finally I thank my Harvard colleagues for finding time in their busy schedules to help produce another worthy issue of CHER. 

*Michael Shinagel  
Editor*

ESSAYS AND  
ADDRESSES  
ON ISSUES  
OF HIGHER  
EDUCATION





# *Building a University for a Changing World*

*Freeman A. Hrabowski III*

UNIVERSITY OF MARYLAND BALTIMORE COUNTY

**I**N 1928, AT THE AGE OF 12, MY MOTHER HAD TO WORK AS a maid every day after school. Working as a child maid taught her that she did not want to do that for the rest of her life, but it also put her in a setting where she had access to a home library at a time when the community had no public library. The woman of the house saw that my mother was curious about books, so she said, "Maggie, when you finish your work, you can go into the library and read." Mother began to read, and the more she read, the more she enjoyed the experience, and the better she got at it. Later on the lady said that she could take a book home, which was a tremendous favor because in my mother's home there was only one book, the Bible. So she would take the book home and read it, but her girlfriends became upset with her, asking, "Maggie, why do you always have your head in a book?" And suddenly she realized that her friends never read because it was painful; they didn't read well, never got into the habit of reading, never got better at it, never enjoyed books. At that moment, she decided what she would do for the rest of her life. She became a teacher, because she appreciated the importance of reading for developing language, acquiring knowledge, gaining power.

This is the story that inspires me: the idea of a poor American girl getting a chance to be around books, being encouraged to read, working hard to be her best, learning to dream, and moving on to a very different life, a life transformed by education. Education didn't change only her life, it led to so many others' lives being transformed, because when my mother went to college in the mid-'30s, others around her wanted to see what was going to happen. And what they saw was Maggie getting a good job as a

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Copyright 2003, Freeman A. Hrabowski III. Freeman A. Hrabowski III is the President of the University of Maryland Baltimore County and co-author of *Overcoming the Odds* (2002) and *Beating the Odds* (1998).

teacher, buying a car, and making \$50 a month, a lot of money in 1936. From her example, others wanted to do the same thing, and from her work as a teacher during more than 40 years, she touched her students and transformed their lives too.

*... Many of us  
have been inspired  
by the nobility  
of the story  
of the first person  
in a family going  
on to college.*

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When I think about the next university—the university of the twenty-first century—and about where we are as a nation, my first thought is that for the first time since that mid-point of the twentieth century, we cannot say that it is generally the case that every generation of Americans will be better off than preceding generations. Millions of Americans who are poor, whether they are black, white, Hispanic, or any other ethnicity, may not continue to move up. And the only way we will see a difference is if we focus on the education of all children. As a visiting scholar with the College Board, I am struck by the high positive correlation between SATs and income level of family. The income level of family is positively correlated with the educational level of parents. The more advantaged the parents, the better the school system, the greater the probability of test preparation, the better the students do. And as we think about educating all Americans, whether traditional college-age students or returning students, one of our challenges is to look at and overcome the relationship between income level and academic skills.

Whether we realize it or not, we now have more very rich people than ever before. Even with the downturn of the economy, when people tell you they've lost money in the stock market, they still have money to pay their

mortgages, sometimes their second mortgages. Our portfolios may be down, but we can still afford two cars; our kids in high school can have a car. Those of us in the middle and upper-middle class are still doing well, despite our paper losses; but those in the lower-middle class have gone in the other direction and are worse off. A friend who is a CEO of a major development company said to me, "You can tell a lot about our society by looking at the kinds of shopping stores that are developing around the country. On the one hand you've got Nordstrom's, because upper-class and upper-middle class people who want to look upper-class go there. And then you have Wal-Mart. But the middle-class stores are really dying. The stores for middle-class people are dying out because you're going to be either at this end or at that end. That's where our society is."

And where is the future of our society? Two-thirds of America's fourth-graders are not proficient in reading, over half of white children and substantially more of the children of color. And the question I always ask is, if these children are not proficient in fourth-grade reading, what makes us think that by the seventh grade they would be any better off? Because the work gets harder. The gap gets wider. Why bring this up? These are the same Americans whom we will be serving in 20 years or less. The past three years, I've had the chance to visit more than 30 states to talk about academic achievement and the achievement gap. On one of these visits, a policy maker told me that in some states, decisions about prisons are being made on the basis of the demographics of second graders; by looking at the demographics and the test scores of second graders, they are determining the amount of space they will need in prisons 20 years from now. So this is the setting for our challenge as a society and for us as educators.

And it is not only a challenge for America, it is a global challenge. In his book, *Preparing for the Twenty-First Century*, Yale historian Paul Kennedy gave a clear statement about global interdependence and the impact of de-

*... In some states, decisions about prisons are being made on the basis of the demographics of second graders; by looking at the demographics and the test scores of second graders, they are determining the amount of space they will need in prisons 20 years from now.*

mographic changes. From 1825 to 1925, the world population grew from one to two billion people. By 1975, it was four billion, and by 1990, five billion. We know that within the first three decades of this century, that number will double, with much of the growth occurring among those peoples of the world who are least able to handle the growth because of limited financial and environmental resources. In this global society, those nations will look to us to see how we handle our challenges, including education.

*But the sad truth  
about American  
higher education  
is that it is  
impossible for a  
research university  
like ours to consist  
primarily of  
financially poor  
students because  
most don't have the  
necessary academic  
preparation.*

don't have the necessary academic preparation.

The other reality about American higher education, particularly state institutions, is that these are difficult times. As Robert Zemsky, Chair of the Learning Alliance at the University of Pennsylvania, pointed out, during hard times most institutions try to spare personnel and programs by cutting across the board; however, the result is that although they survive, they are "substantially weakened in the process. It takes a long time to rebuild an institution's confidence in its ability to invest in its own future" (*Boston Globe*, Feb. 16, 2003). Zemsky cited UMBC, along with the University of

Pennsylvania and the University of Michigan, as one of “a few institutions that emerged stronger. These were institutions that not only made targeted . . . cuts, but more important, chose to rethink how they operated while continuing to invest, albeit on a smaller scale, in new initiatives. . . . These were truly changed universities, having come to understand that the way to remain mission-centered was in fact to be market smart” (*Globe*).

I appreciate any good press, especially when it's free and when it's accurate. UMBC has been “market smart” for several recent years, and we've made some progress in the 11 years that I've been president: we've had double digit increases in state funding on our campus coupled with significant growth in research funding, enrollments, fundraising, and capital projects. But I'm a firm believer that the more progress you make, the more you realize how much further you need to go, and I know that for all our success, we have a long way to go.

So how do I, as a university president, go about envisioning the next university? What are some of the insights that I've gained when I look back at my own campus to the beginning of the '90s and think about our future? My first thoughts are not about my institution, but about the changes in store for all of us in this century. Paul Kennedy's concept of global interdependence means that we have to think about how the rest of the world views us, about the impact of our way of life on other cultures, about the way we handle cultural differences. My sense is that we Americans tend to be terribly provincial, not really concerned about the rest of the world, but in my travels, what is clear is that although other people respect us and envy our television sets in every room, the three cars in the garage, the second house, they can't help but wonder why we should have so much when so many others are suffering.

Within our own borders, the changing demographics of this century mean that within the next three decades, one of every two Americans will be of color. The black and white populations are not increasing substantially,

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differences.*

*Right now, the best institutions are planning for the future by making decisions about what they cannot continue to do.*

but the Asian population will go from three percent to ten percent, and one in every four Americans will be Hispanic. California, Texas, and Florida are already experiencing this, and as educators, leaders, administrators, we have to prepare our staffs and our students to deal with people from different cultures and backgrounds, and by "dealing," I mean developing ways of co-existing and working with a range of people and appreciating differences. This is as much an institutional as an individual challenge, and it is our responsibility to make sure that we are ready to transform attitudes as well as policies.

That is the larger context for my vision of the future. But on a more pragmatic level, two areas that my institution has focused its research efforts on are biotechnology and information technology. Why are biotech and biomedical research the fastest growing budgets other than defense? In simplistic terms, all of us want to live longer, look better, and

feel better. If I asked you, "Would you be willing to give me ten percent of your salary if I could make you look and feel 15 years younger?" Most of you would be willing to give me 25 percent of your salaries; you would write me a check on the spot. Similarly, if I said to you, "If you give me ten percent of your salary, I'll make sure that any of your family members who have cancer will have a cure." You would give me the money without a moment's thought. So biotechnology is a great opportunity for us, and our undergraduate majors, master's and doctoral programs, research centers all reflect that commitment.

As for information technology broadly speaking, the world is dramatically different because of the technological changes we've all seen. We tend to take it for granted, but most people of a certain age can still remember the "firsts": first television, first color television, first VCR, first PC, first Palm Pilot. After I gave a talk in Atlanta, a principal came up to me and said, "You didn't go far enough back. I remember when the family got its first refrigerator and we all sat there and watched it like it was a television, waiting for it to make ice." Who would have thought, when many of us were back in college that we would be walking around with phones in our pockets? Perhaps someone like Raymond Kurzweil, MIT Inventor of the Year (for his work in speech recognition) and author of *The Age of*

*Spiritual Machines.* Kurzweil has already had a lot of his predictions about technology come true, and he believes that by the year 2019, we will be accustomed to using automated personalities—he doesn’t call them robots—as companions, trainers, even lovers. Kurzweil’s vision may be accurate or not, but technology has changed our world, and we need to prepare our students to not only value technology, but to set the context for it, whether it is in the form of devices like automated personalities or structures such as online learning.

Demographics, technology—these are the “givens” for the future. But what is it that we have

to do as a university, especially a state university in the middle of an economic downturn, faced with these trends? We obviously have to have a clear sense of mission, but beyond that, we need to agree, as an institution, on our strengths. Bob Zemsky was right when he talked about targeted cuts. Right now, the best institutions are planning for the future by making decisions about what they cannot continue to do. UMBC faced that in the early ’90s; we cut back some programs, and it was painful, but we came out of it even stronger than before. The problem with organizations—whether it’s a company or a university—is that everyone has a sense of turf, everyone wants to continue to focus on what he or she is doing because of a belief in its value. Unless leadership can figure out what

it is that an institution does well, you run the risk of mediocrity. When I chair accreditation teams, I ask people on campus, “What do you really do well?” And when everyone says, “Well, we’re excellent in everything,” I know there’s a problem, because only the Harvards and the Stanfords have the resources to be excellent at everything.

What, then, is our mission, what are our strengths at UMBC? We see ourselves as a public research campus that is entrepreneurial. Any institution that wants to compete or build a reputation for itself in this century has to have an entrepreneurial spirit. When I look at UMBC, I see a network of people, school systems, communities, corporations, government agencies

*... We cannot rely on state subsidies and tuition revenue, we need to be market smart, responsive to needs that are being constantly articulated, if we only choose to listen.*

all moving in the same direction with a similar mindset: a shared vision of our institution as an entrepreneurial enterprise that serves needs. The vision of a network is important to us; UMBC doesn't stand alone, it exists in an interdependent environment. For us to succeed in this environment, we cannot rely on state subsidies and tuition revenue, we need to be market smart, responsive to needs that are being constantly articulated, if we only choose to listen.

*Just as successful businesses understand the mindset, backgrounds, and aspirations of their clients, we also need to have that kind of understanding.*

We have to begin by listening to what our community, partners, constituents, and students are saying. We in the academy tend to believe that we have the answers, and for the longest time, we have been accustomed to people coming to us for the solutions. But now there are a lot of nontraditional institutions providing billions of dollars worth of training paid by corporations who feel that academic institutions cannot give them what they have been asking for. We have been too closed-minded, even arrogant, not listening as people talked about what they need. Is this a valid indictment of higher education? It is what I hear from people in the outside world. So it is clear that we have to consider what employers, industrial groups, and advisory panels have to say about their needs in terms of

skills and values of potential employees, and we have to assess our curriculum and programs not only for relevance, but also for their quality.

As a university president, I say quite frankly that partnerships will help to define us as an institution, and that enlightened universities need to be connected to their communities in many ways, through industry, agencies—both national and state—and through K-12. I have often said to four-year institutions that community colleges have done a better job of listening to the community than we have. Because of the very nature of those institutions, they've tended to be focused more locally and listening more carefully in many more places than universities have. Rarely have research institutions looked at the whole picture in order to be as valuable to a community as possible. The perfect example involves universities and school systems. For years, professors have had the attitude, "We can help you," not understanding that there is so much that school teachers experi-

ence and understand that professors do not. The data about fourth-grade reading levels and second-grade demographics underscore the importance of the connection between universities and K-12, and the role that we have to play.

One of the reasons my campus has been able to position itself as very important to the Baltimore area is that we have people who say to corporations and to agencies, “We want to work with you. Tell us what you want. We want to be a good partner to you.” So we listen, engage in give-and-take, and try to understand each other’s strengths. The upshot is that we have relationships with corporations as well as national agencies such as the National Security Agency, the National Institutes of Health, the National Science Foundation, the Department of Defense, as well as nations from China to Egypt.

Some people—including some of my colleagues—look at that list and say that we are not a business. And my response is, “We are in the business of education.” Whether you call them students, clients, customers, they are people whose needs—academic or training—have to be met, presumably in the most efficient way. Just as successful businesses understand the mindset, backgrounds, and aspirations of their clients, we also need to have that kind of understanding. And just as corporations have to adjust to changes in the economy, especially during a decline, universities have to reorganize or learn to do things in more effective and efficient ways. I’m talking about taking the time to look at other paradigms and approaches, not adopting models mindlessly, but by adapting best practices and policies to our context. My wife, who is a vice president at T. Rowe Price, was involved in training for years, and I learned a lot from that company’s focus on its employees and their needs, and using institutional objectives to develop action plans for employees to meet the needs of the company, something that universities rarely think about.

Our relationships with outside entities have made us think hard about the nature of our partnerships. For us, the questions are, “Who are the strategic partners? Who are the real winners who have resources with which we can connect?” The most substantive collaborations with national agencies or companies are those that allow student engagement in key fields, capitalizing on our institutional strengths; have the possibility for growth over time; and feature complete buy-in on both sides. To get to this last point in an academic environment means building consensus. Some of my CEO friends say to me, “Well just tell them to do it,” not understanding that

it's difficult to make people in a university do anything, especially when there are concerns about getting too close to companies. But outreach is a critical priority, and for us, it has led to the formation of companies on campus, the commercialization of technology, and the development of niche areas for training, both credit and noncredit.

*You're special and you can be even better. That has been the foundation for my philosophy of education for the past 30 years.*

18 or a returning woman at 42, I'm going to say, "Oh, my God, he's talking about me! So I may as well have a good time while I'm here!" So it's a self-fulfilling prophecy. One-third of the students, typically, or more, drop out. We say, "Look at the student to your left, look at the student to your right. Our goal is to make sure all three of you graduate. And if you don't, we've failed. And we don't plan to fail."

When I was growing up, my mother taught me math and English in the eighth grade. I received my worst grades in my mother's class. I was an A student in everybody's class but my mother's, and when I was angriest at her for those grades, she would look me in the eye and say, "Son, just remember this: you are special, and you can be even better." *You're special and you can be even better.* That has been the foundation for my philosophy of education for the past 30 years. Whether talking about my students in a math class or my colleagues who may be vice presidents, deans, or faculty, I have always believed that we have to help people, regardless of age, to feel special, to have a sense of worth, to believe in themselves. Whether it's a 40 year old who's never been to college or an 18 year old, we have to push them to be better. If there's a context of concern and caring, we can afford to be critical in a positive way and help all of us to be better. We know the task will be harder because the

variety of students will be enormously wide in terms of age, cultures, background, expectations, so we are asking ourselves as educators to think about how and what we are saying to people coming from different places, and how we can give them the same level of support as we give to our freshmen.

On our campus, we say that success is never final, or at least that's the message that I communicate to my colleagues. In his book, *What Leaders Do*, John Kotter talks about creating change by communicating a sense of urgency, forming teams to direct the process of change, getting people to take ownership of the challenges, and then creating a vision of who you want to be. As the leader of the institution, I have to make people believe that we have no choice but to move forward, that competitors are all around us, that we need to work together to fulfill our vision of an entrepreneurial university that is young and hungry enough to do things in an outside-the-box way.

Communicating that vision broadly in academia is not easy. I say to my faculty colleagues, "You know, I love this institution. But the fact is, we are a difficult group of people." It only takes a few people in powerful positions to make change difficult, so as a leader I have to work to broaden the base of people who take ownership of the vision. Along with other leaders, I need to support and empower them to act as a result of that, and to let them know that I believe in their strengths, that they can get things done. That's the process that Kotter describes and the one that I subscribe to. It's not a formal process; real leadership happens through informal interactions, through getting to know about people—their lives, their families, their backgrounds, their values. In order for me to lead effectively, there has to be an open environment where I know my colleagues and students, and they know that I care about what is happening in their lives. Through those relationships, we can talk about anything comfortably, including brainstorming and imagining "what if," feeling free to be absolutely ambitious. This is what universities need now and in the future: people who can think

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about the possibilities, understanding that it is not just technology, but also relationships that can transform lives.

At the end of her life, my mother was living with us; she had developed Alzheimer's. She had been a brilliant woman and would have moments of coherence, but most of the time her mind was clouded. On one of those days when her mind was clear, sharp enough to remember certain things, but not enough to know who I was, I asked her, "What's important to you?" She looked out the window and smiled as she said, "Relationships. My relationship with God. My relationship with my husband—he's a wonderful man." She had forgotten that my father had died 20 years before. And then she surprised me by saying, "You know, I have a son." At that point, I said to myself, "Oh my, what's she going to tell me now?" And she said, "He's a college president. He's smart, but more important than that, I know that he and his wife are good people. I know they will do the right thing. That's all I need to know—they'll do the right thing." It was a wonderful moment for me. But then she gave me a greater gift. She said, "You know, teachers touch eternity through their students. I will always live through the people I helped. Whatever I had to give—my skills, my values, my sense of worth, wanting them to feel special—I gave it to them. And I will live through them." And when all is said and done, beyond money and prestige, what we all want is to know that the work we do makes a difference, and through our positions in academe, we should remember that we are in a privileged position to make a difference in the lives of our students. 

*Adapted from a keynote address delivered  
at the 88th Annual UCEA Conference  
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# *The Corporation of Learning: Nonprofit Higher Education Takes Lessons from Business*

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The university is becoming a corporation of learning that sets its affairs in order after the pattern of a well-conducted business concern. . . . There are very few, if any, of the broader principles of management which obtain generally in the commercial field which are not, more or less applicable in the college field, and as far as was discovered, no one of them is now generally observed.

Morris Cooke

*Academic and Industrial Efficiency* (1910)

The intrusion of business principles in the universities goes to weaken and retard the pursuit of learning, and therefore to defeat the ends for which a university is maintained.

Thorsten Veblen

*The Higher Learning in America* (1917)

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Copyright 2003, David L. Kirp. David L. Kirp is Professor of Public Policy at the Goldman School of Public Policy, University of California-Berkeley. This essay features material from his forthcoming book, *Shakespeare, Einstein, and the Bottom Line: The Marketing of Higher Education*, which Harvard University Press will publish in November 2003.

I

Despite all their obvious faults, American universities have long aspired to be communities of scholars, places for free thought. The century-long campaign for academic freedom represents an effort, against long odds, to secure a degree of intellectual distance from the quotidian pressures, to gain breathing room for professors to critique the conventional wisdom of the day.

*Dollars have always greased the wheels of both American public and private higher education . . . .*

It is important not to romanticize academe, not to slip into nostalgia for a time that really never was. Dollars have always greased the wheels of both American public and private higher education—were it otherwise, the term “legacy” would not have a meaning specific to universities. There is no returning to Cardinal Newman’s nineteenth-century *Idea of a University*, where “useful knowledge” is a “deal of trash”—no returning either to the world envisioned more than 80 years ago in Thorsten Veblen’s conception of *The Higher*

*Learning in America*, where pure research is the only proper activity of the university and developing usable applications (as well as educating undergraduates) is the business of lesser places.<sup>1</sup> Ever since Harvard College and the College of William and Mary opened their doors more than three centuries ago, money has been a pressing concern; and the need for a useful and usable education has been a recurring theme at least since the launching of the land grant universities nearly a century and a half ago. At the turn of the twentieth century, the University of Chicago stripped Clark University of its best professors by offering them outsized salaries; the University of Southern California (USC) was starting a real estate school; Columbia and Chicago ran factory-like correspondence schools; and at MIT, General Electric was opening a corporate-sponsored laboratory on the campus.

What is new, and troubling, is the raw power that money—and an ethic that gives pride of place to the things that money can buy—directly exerts over so many aspects of higher education. As recently as a quarter of a century ago, the forces of commercialism were mainly confined to the periphery of the university, in places like extension schools and athletic programs.<sup>2</sup> No longer. Entrepreneurial ambition, which used to be regarded in academe

as a hold-the-nose necessity, has become a virtue. The proud boast of the president of the University of California system, which includes some of the nation's finest public institutions, is that "the University of California means business," a catchy phrase that captures what is by now the conventional wisdom.

Priorities in higher education are determined less by an institution's leaders than by its multiple "constituencies"—students, donors, corporations, politicians—each promoting its vision of the "responsive" (really the obeisant) institution. Strong leadership used to be regarded as crucial in the making of great universities, but now presidents, consumed with the never-ending task of raising money and the concomitant need not to offend donors, rarely venture beyond endorsing bland notions like "excellence." Meanwhile at many universities the idea of faculty governance of academic affairs is rapidly slipping into irrelevance, a casualty of the perceived necessity to act more quickly and decisively than professors are wont to do.

The new vocabulary of customers and stakeholders, niche marketing and branding, and winner-take-all embodies this change in the higher education "industry." This is more than a matter of semantics and symbols, because the vocabulary of business reinforces business-like ways of thinking. Each department is a "revenue center," each student a customer, each professor an entrepreneur, each party a "stakeholder," each institution a seeker after profit, whether in money capital or intellectual capital.

Opting out of the fray by fleeing the market is not a realistic possibility. Any school that adopted the Thoreau-like position that in education as in the design of a mouse trap, quality is all that matters, would be courting self-destruction. Elite schools are ever vigilant, lest a rival steal an edge—or a professor or major donor. Prestige is the coin of the realm among these institutions; and since prestige is a scarce commodity, the losers will always far outnumber the winners. "To an extent rivaled perhaps only by the market for trendy nightclubs," writes economist Robert Frank, describing

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what he calls a “winner-take-all” market, “higher education is an industry in which success breeds success and failure breeds failure.”<sup>3</sup>

Even as higher education has become more stratified at the top, it has

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also become more universally available. Proportionately more high school graduates continue on to college and many more students are returning to school after having been in the workforce; together, these two groups account for much of the continued growth in higher education enrollment. On the lower rungs of the academic ladder, the competition is for dollars and bodies, not prestige. The less selective and non-selective schools attended by more than four American college students in five vie to fill classroom seats, resorting in the extreme to Priceline.com-type discounting and hiring firms that make cold calls on prospects.<sup>4</sup> The new generation of for-profit schools is oriented to this segment of the market. The best of these schools, such as DeVry, Phoenix, and Argosy, bear no resemblance to the old “matchbook” trade schools; and while the for-profits enroll barely two percent of all students, they have been able to cherry-pick the most lucrative fields. No one is warring—at least not yet—over prospective English majors. It’s Phoenix versus University of Texas-El Paso for business students, DeVry versus University of Northern Illinois for software engineers. Moreover, the for-profits have figured out how to clone themselves without sacrificing quality, something that traditional universities neither

know how nor want to do, and they have also been adept at using the Internet for competitive advantage.<sup>5</sup>

A “revolution” is how David Riesman and Christopher Jencks, writing in 1968, characterized the shift from Mr. Chips’ pre-World War II world of the academic village to Clark Kerr’s “multiversity.” Revolution is at least as good a description of the present—what Kerr himself calls “the greatest critical age” for higher education in industrialized nations.<sup>6</sup> In the policy debate, nuance is in short supply. Too often the debate sounds like a replay

of Morris Cooke versus Thorsten Veblen, with accusations of philistinism on the one side, and on the other side, predictions of the demise of the residential university for reasons of inefficiency or irrelevancy.<sup>7</sup>

Whether it is higher education, health care, cultural institutions, or any other sector of society subject to mounting market pressures—which is to say almost every sector of society—economist Arthur Okun has got the balancing act right. “There is a place for the market, but the market must be kept in its place.”<sup>8</sup> This is, of course, much more easily said than done. In responding to market forces some schools forget that they are not simply businesses while others become stronger, better places. Still, imbedded in the very idea of the university—not the story-book idea, but the university at its truest and best—are values that the market does not conventionally honor: the belief in a community of scholars and not a confederacy of self-seekers; in the idea of openness and not ownership; the professor as a pursuer of truth and not an entrepreneur; the student as an acolyte whose preferences are to be formed, and not a consumer whose preferences are to be satisfied. To maintain those values, there must be a thumb on the other side of the scale, a countervailing pressure from government and private sources that favors the intellectual and public service contribution of the academic commons.

An essay on the ways in which nonprofit universities increasingly emulate businesses could focus on a host of topics: the market in students; the competition for superstars; the outsourcing of a wide array of activities traditionally undertaken by the university itself, everything from running the campus dining halls and computer systems to, more controversially, the selection and instruction of students; the packaging and selling of the intellectual output of the university, whether through licensing patents or starting dot.coms to gain “first-mover” advantage on the Internet. This essay focuses on one institution, the University of Virginia (UVA), whose recent history sheds light on one of the most direct forms of emulation: the privatization of public higher education. This case, like the more than 20 cases analyzed in *Shakespeare, Einstein, and the Bottom Line: The Marketing*

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*of Higher Education*, is not meant to be “representative” in anything like a statistical sense. Instead, it’s a canary in the mine shaft—a portent of what seems likely to come.<sup>9</sup>

*... By their very nature, business schools are entirely at home with the spirit of this commercial age, and keen to take advantage of its opportunities.*

the wider universe of business schools.<sup>11</sup> This university steeped in tradition has responded to the contemporary pressures of market competition by creating what may well be the most autonomous—the most “private”—school in an American public university.<sup>12</sup>

Nationwide, the 30 percent decline between 1980 and 2000 in the share of universities’ operating expenses that are paid for by state tax dollars, coupled with state-imposed restrictions on tuition increases, has made Darden-type privatization an appealing option for a school at a public university that can compete in the market. What Mark Yudof, chancellor of the 15-campus University of Texas system, calls the “extraordinary compact between state governments and their flagship universities. . . . In return for financial support from the taxpayers, these universities would keep tuition low and provide broad access, train graduate and professional students, promote arts and culture, help solve local problems, and perform ground-breaking research” is in the process of being consigned to the junkyard of history.<sup>13</sup> Circumstances at UVA are particularly dire. Tuition has been frozen since 1996, and the state’s share of the operating budget was halved between 1990 and 2003.

## II

At the University of Virginia, the budgets of most units are determined by the campus administration, which controls the purse strings.<sup>10</sup> This being Virginia, though, the terms of allocation are fixed by gentlemen’s agreements hardened into tradition rather than formulas. Secrecy is pervasive. Even old Charlottesville hands profess bewilderment about how resources are distributed and units are “taxed” on the money that their activities generate.

The Darden Graduate School of Business Administration has freed itself from this process, becoming in essence a private institution. It has not done so to do better in the intra-campus competition for funds, as at other schools where budgets are fixed by resource center management (RCM) formula, but rather to compete more effectively in

These structural changes are of deep concern to those who value the historic role of state universities. But by their very nature, business schools are entirely at home with the spirit of this commercial age, and keen to take advantage of its opportunities. Money is business schools' chief subject; making money is what mainly motivates their students; and these schools are magnets for outside support.<sup>14</sup> This used to make business schools a target of derision for academics who saw their responsibility as speaking truth to power; now it's what situates those schools in the vanguard of market-driven higher education.

Appearances can be revealing. Virginia's campus—the Lawn, as it's called—is the most architecturally renowned in the country. Among Virginians, it is reverentially referred to as Mr. Jefferson's university, and that polymath president had a major hand in designing what he called the "academical village." But while the heart of the campus—the Rotunda, a miniature version of the Roman Pantheon, flanked by two rows of Federalist-style buildings—is well maintained, the surrounding buildings are in a state of disrepair.

In startling contrast, the Darden School, situated a mile away, pays homage through imitation to Jefferson's architectural vision. Its perfectly manicured campus is a layout fit for *Architectural Digest*. These physical differences reflect a deep institutional divide. Those schools that are situated on the historic grounds, among them the liberal arts college, the education school, and the school of commerce, which trains undergraduate business majors, operate according to the conventions of public universities. The business school, as well as the law school, has moved toward what is referred to as "self-sufficiency."<sup>15</sup> In exchange for eschewing most of the state funds to which it would otherwise be entitled, Darden has largely been set free to build its own campus, paid for with some \$77 million in private contributions. Unlike other campus units, it sets salaries at "peer group market levels"—that means whatever Stanford and Wharton are paying their professors.<sup>16</sup> It keeps all the revenue it raises from executive training

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courses for senior managers. The market is the benchmark in determining MBA tuition.

When the state of Virginia cut Darden loose, it made it easier for the business school to go head-to-head with wealthy rivals like Wharton. But in important, if less noticed, ways, the Darden initiative alters the dynamic of the relationship with the campus community, as well as shifts priorities within the business school. A successful market strategy—perhaps the only strategy to escape mediocrity—has diminished the academic commons.

From the time it opened its doors half a century ago as the first graduate business school in the South, Darden has aspired to be an institution of national renown. The original hope was that by creating a generation of homegrown business leaders, a business school with the ambition of becoming the “Harvard of the South” could help level the economic playing field for the region. No longer is Harvard the touchstone. In recent years, Darden has regularly been listed among the top ten schools in the influential *Business Week* rankings, the only public university other than Michigan to appear on that list and ranked higher than such better-known schools as the University of Chicago. Darden has also done remarkably well in raising money. Between 1998 and 2001, when he returned to his alma mater, the University of Chicago, Dean Edward Snyder raised \$209 million, making it the best-endowed business school per student in the country. Among those gifts was the biggest single donation ever made to a business school, a \$60 million gift from a Harvard Business School alumnus that, fittingly enough, endows a center on entrepreneurship.

Virginians are passionate about their leading universities, and for those who manage them this is both a blessing and a curse. “The problem,” says former UVA Provost Peter Low, “is that the state contributes just a fraction of the revenue but wants 100 percent control.” But despite its abiding interest, the state government has never been generous in funding higher education. Even during the 1970s and 1980s, when UVA was avidly cultivating an image as one of the “public ivies,” the state provided about half as much per student as North Carolina expended on its flagship Chapel Hill campus. While public universities across the country were affected by the recession of the early 1990s, Virginia universities were among the hardest hit, suffering a 13 percent budget cut in the span of two years.<sup>17</sup> Out of necessity, the universities dramatically increased tuition—by 79 percent for in-state students, 123 percent for out-of-state students—making them among the nation’s most expensive public institutions. When the state im-

posed a tuition freeze in 1996, its universities could no longer offer faculty competitive salaries. Many talented professors went elsewhere, and the institution's prestige suffered.

Senior campus administrators responded with an ultimatum: If Virginia didn't do a better job of funding higher education, some parts of the higher education system would go private. The state legislature proved surprisingly responsive to these demands for greater autonomy. "The Commonwealth should consider changing its business relationship with higher education," a 1996 Assembly committee report concluded, "allowing institutions to grant greater autonomy to selected schools that could be largely self-supporting."<sup>18</sup>

Realistically, only the law and business schools at Charlottesville could attract enough students willing to pay the market rate tuition that self-sufficiency would require, and the two schools were already headed in that direction. While the campus administration had always treated Darden as a favored child—it was viewed as a bright light in an institution whose units are of decidedly uneven caliber—there was never enough state money to underwrite a truly first-rate business school. By the 1980s, recalls long-time UVA chief operating officer Leonard Sandridge, an accreditation team warned Darden that in order to become more than a good regional institution—the Indiana of the South—it had to raise buckets of money.

For Darden, securing self-sufficiency looked to be a win-win situation. "Darden must have the freedom to respond to competition in order to join the ranks of the top five or six business schools," argued Thomas Saunders III, chair of the school's fund-raising arm, at the 1996 dedication of the new campus. "I know that the word 'privatization' is politically a 'hot button,' but wouldn't the state subsidy going to Darden be better spent on undergraduates in the form of scholarships or better funded programs?" To Saunders, the link between privatization and the university's Jeffersonian heritage was simply a matter of branding. "The University of Virginia would

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still confer the degrees. Mr. Jefferson's University would still be our very identification—our intellectual, our physical, our emotional home. What would change is not the spirit and ties, but the freedom to compete with the very best business schools in the world.”

*It's not self-evident that what benefits Darden School also benefits the university and the citizenry of Virginia.*

entire institution, that's the model we want to get.” But in privatization as with RCM, market similes are misleading. Higher education isn't “like all other businesses” and Darden isn't like the Saturn division of General Motors. It's not self-evident that what benefits Darden School also benefits the university and the citizenry of Virginia.

“When I was deciding among deanship offers,” recalls Darden's Ted Snyder, “I calculated the internal tax rates. At Michigan, the rate was 21 percent, at Emory it was 40 percent. That big variation affects competition among business schools.” Snyder spent 18 months negotiating the tax rate with Leonard Sandridge. He walked away with a rate of just ten percent on tuition, and unlike the University of Michigan, Darden pays no tax on the proceeds from its lucrative executive education programs and private contributions. Though ten percent is a considerably lower rate than its rivals, it seemed entirely fair to Snyder since “Darden doesn't make much use of university services like the computer center.”

The business school regards the ten-percent tax as a “franchise fee,” says Mark Reisler, Darden's associate dean for administration, and the metaphor is revealing. Just as a McDonald's franchise-holder pays for the drawing power of the brand, Reisler regards the tax as buying the Thomas Jefferson mystique—the brand—of the University of Virginia. Otherwise, the school

generally behaves as if it is a stand-alone institution, providing modest support for campus activities, such as a venture to bring black leaders to campus, mainly to buff its image.

To envision the university as a market is to reject the claim that the central administration should determine priorities for the institution as a whole (as, for example, Columbia University does when it identifies the liberal arts college as its centerpiece, and taxes the business and law schools in order to pay for the physicists and poets). The market mindset dismisses the claim that public goods like a computer center or campus museum benefit everyone, and so should be underwritten by the entire institution. It also disregards the direct benefit to Darden: the business school's reputation is affected by the reputation of its university.

Not surprisingly, UVA deans who command fewer resources see things differently. Melvin Leffler, dean of the liberal arts college until 2001, went public with an attack on how the administration parcels out money—a most un-UVA thing to do. Leffler pointed out that in 1997–98, tuition revenues exceeded the money made available to the college by \$17 million; in other words, the college was really subsidizing the rest of the university, including Darden. Although that figure doesn't include support for campus public goods, Leffler regards the disparity between revenues and expenditures as revealing the misleading nature of the rhetoric of self-sufficiency; the liberal arts college could pay its own bills if, like Darden, it were allowed to raise tuition to market levels and keep its tuition revenue.

This apparent favoritism generates what former law school dean Robert Scott calls a “poisonous atmosphere.” As one campus administrator put it with delicate understatement, “there is a little bit of the Babylon on the hill phenomenon. If you are a professor of linguistics and your department is starved to death and your pay has barely kept up with inflation, you might be annoyed by what's happening at Darden.”

The most deluxe building at Darden is Sponsors Hall, home for the 4,000 or so senior corporate executives who annually make the pilgrim-

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age to Charlottesville for an intense retooling course. In the school's early years, housing for these short courses was dorm-quality and the food ran to creamed fish, but with its 180 guest suites, its billiard room, and its white-tablecloth dining room, Sponsors Hall rivals a Four Seasons in the quality of its services. Such accommodations are what these executives are accustomed to, and especially during the boom years, their Fortune 500 companies have been willing to pay handsomely for the privilege, as much as \$1,000 a day for lodging and specially tailored classes on topics like "developing managerial excellence." *Business Week* consistently rates Darden's executive program as among the best two or three in the nation. "It's a great way to develop the brand," points out longtime administrator Ray Smith. In fact, the executive program largely became the brand.

Though some at Darden, including former dean Snyder, express concern about the scale of the program, that isn't going to change. This is Darden's cash cow, which until the recent and rapid expansion of the MBA program generated more than half of the school's revenues. The fees for a two-week course are about half that of an entire year's MBA tuition, and if Darden is to prosper in the era of self-sufficiency, it has to keep attracting these managers.

Unlike other business schools, where younger faculty are discouraged from teaching in the executive education program so that they can concentrate on research, Darden professors are expected to do so from the outset. Most are happy to participate, since the stipends they receive for a few days in the classroom can nearly double their salaries. "The way to get to market with faculty," says Snyder, "is to combine a light MBA teaching load"—about 2 hours a week—"with executive ed." The development of a new MBA course can take a year or more, but if the price is right, professors may be asked to create a course demanded by a particular company and using its materials in a matter of weeks.

These activities, coupled with the school's emphasis on writing cases for MBA students, keep many professors from producing the scholarship generally expected at a top-rank school. Although Darden faculty members write many of the case studies used in business schools, they publish far less in the leading academic journals than their counterparts at Stanford or Chicago. That concerns those who regard the creation, not just the transmission, of knowledge as vital to the mission of a great university.

What's more worrying is the fact that some of the executive courses draw on proprietary material. In those instances, instructors cannot take

the case they have developed for a Price Waterhouse or Citibank and use it in an MBA class. In the school's early years, notes Ray Smith, professors feared the possibility of encroachment on their academic freedom, and so resisted teaching company-specific courses; the first such course, developed for the postal service, was rationalized as in the public interest. But Darden faculty were already teaching in corporate-run programs on their own time, Smith notes, since "that's how we put our kids through school, and now this teaching has been brought into the school."

There is a crucial difference, however, between a professor's consulting activities and the direct involvement of the institution. When Darden offers classes that rely on proprietary teaching material developed for a specific firm, it effaces the line between the academy, where norms of openness prevail, and the instinctively property-minded corporate environment. Such secrecy is expected at a corporate university like Motorola University. Its courses are valuable property, and so every effort is made to prevent spies from stealing the materials.<sup>20</sup> Keeping course materials out of the hands of others also makes sense at a school like the University of Phoenix, where the highly prescriptive curriculum is the institution's stock in trade.

But black-box pedagogy at the University of Virginia calls into question the very idea of a public university, turning Darden into a kind of consulting firm.<sup>21</sup> In teaching company-specific material, Darden is no different from Motorola—with the crucial exception that as a nonprofit institution it is exempt from taxes, and that as part of the University of Virginia it carries the Jeffersonian cachet. That's worth a great deal. As Leonard Sandridge says: "People would pay twice as much for executive education from Darden than from [less prestigious] James Madison University even if it were with the same professors. Reputation doesn't happen overnight, thank goodness."

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*At UVA the language of privatization, once a political hot button, is now a rallying cry.*

In order to compensate for the lack of state support, John Casteen III, president of the University of Virginia since 1990, has had to be a master fundraiser. Since Casteen took office, the proportion of the general budget that comes from gifts and endowment earning has mushroomed, from four to six percent to 16–18 percent, which is bigger than the state's share.<sup>22</sup> UVA's capital campaign, concluded in 2001, brought in \$1.43 billion, the second highest amount ever raised by a public university. In 2002, when lawmakers announced cuts approaching \$100 million to the university's two-year budget, Casteen pledged to embark on the "necessary next capital campaign whose goal is to move the University yet another step closer to self-sufficiency." The target is three to five billion dollars.

Much of Casteen's fundraising has not been undertaken for the university as a whole, but for campus units that can help themselves. Foremost among them is the McIntire School of Commerce, which borrowing from the Darden playbook has gone into the graduate training business. "We have taken our graduate programs private," says Dean Carl Zeithaml, echoing his Darden colleagues. "They are basically a huge net cash flow into the school. We pay a tax, a franchise fee to be part of the UVA umbrella."<sup>23</sup>

The rhetoric of privatization is by no means confined to the more commercial units of the campus. After Melvin Leffler failed to extract additional funds for the liberal arts college from the campus administration, he morphed into a money raiser, hiring one of the Darden School's development officers to show the way. Even the library—the emblem of the commons in the modern university—is pursuing what librarian Karin Wittenborg calls "privatization." The goal is to make the library's budget privately endowed, with operating decisions made not by the university administration but internally. At UVA the language of privatization, once a political hot button, is now a rallying cry.

In some ways, all this market-driven activity coincides with Thomas Jefferson's original vision of specialized schools in close proximity to one another, essentially graduate schools that granted specialized degrees in traditional subjects like philosophy and new fields like medicine. But Jefferson believed the state of Virginia needed a university that merited

public funds because it would serve the public good. As he outlined his dream: "We wish to establish . . . a University on a plan so broad and liberal and modern, as to be worth patronizing with the public support, and be a temptation to the youth of other States to come and drink of the cup of knowledge and fraternize with us."<sup>24</sup> What's happening now, by contrast, represents the triumph of the private over the public good.

Then as now, it was hard to secure state backing. "My hopes are kept in check by the ordinary character of our state legislatures," Jefferson wrote a friend, "the members of which do not generally posses information enough to perceive the important truths, that knowledge is power, that knowledge is safety, and that knowledge is happiness."<sup>25</sup> Two centuries later, faced with a mounting budget deficit, state lawmakers reduced their contribution to UVA once again, and faculty hiring was frozen in many schools and departments. In 2002 Virginia slipped to second place among public universities in the *US News & World Report* rankings, 23rd overall, and many blame the lack of state support. In the category of "financial resources," UVA fell to 66th place.

The lean times have focused more attention on discrepancies between the college and the business school. Some professors voice their anger at the special treatment given to Darden; others are simply bemused at the vulgarity of a place they see imitating the style but not the substance of Jefferson's college. Even undergraduates have begun to question the university's priorities. "The million-dollar question that must be asked of the school's administration," one UVA student wrote in a *Washington Times* op-ed piece, "is 'why does a school with a \$1.7 billion endowment starve its liberal arts college?'"<sup>26</sup> In the winter of 2003, the editors of the campus newspaper called for a tuition increase, "a rare instance of customers complaining about low prices."<sup>27</sup>

Because it is pretty much self-sufficient, Darden has less of a stake in the state's machinations. And because recessions inspire a return to the safe harbor of school, at Darden as at business schools across the country, the number of applications has risen significantly, enabling the school to increase enrollment by half in the span of two years.

Still, the economic downturn has had a major long-run impact on an institution that opted to live by—and so suffer with—the marketplace. Darden's transition to self-sufficiency coincided with the greatest uninterrupted era of economic growth in US history, and the school benefited accordingly. It was easy enough in that economic climate to forget that firms can cut costs

*Charlottesville  
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UVA Inc., a great  
moneymaking  
engine, an  
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is conceived as  
the sum of all  
the stakeholders'  
interests.*

by, and had to fight for intellectual purity against, the Church. Then it had to fight against the crown. Now it's against the corporation. There has always been a tension between the university and the funding source that could control the thought. We always have to say that the earth goes around the sun even if it doesn't comport with what the Holy Father says."

In place of the Holy Father there is the impersonal market that demands that the university conform to its preferences, but the underlying question remains the same: can a university maintain the intellectual world that

even more quickly and severely than legislatures reduce budgets; at Darden, executive attendance was down by 15 percent in 2001.<sup>28</sup> The school reacted in true entrepreneurial fashion, offering a new—free—web-based course on “Leadership in Turbulent Times” as a come-on to prospective customers. It is also increasing the size of its MBA class, by 25 percent, in order to balance the books.

In its eagerness to enter the elite national ranks, Darden has made the pursuit of money its main objective. By the conventional indices of success, the strategy has worked brilliantly, as the school's dramatic rise in the *Business Week* rankings attests. Darden may well embody the future, and what works for business schools will also work for other units of public universities, especially professional schools that can set market rates. At the University of Virginia—once referred to as state-supported, now “state-located” (or even “state-molested”)—the temptation to privatize has moved UVA down the road from being a university that emphasizes the cultivation of knowledge and closer to being a holding company. Charlottesville is home to UVA Inc., a great moneymaking engine, an institution where, as the classic welfare economic model specifies, the public interest is conceived as the sum of all the stakeholders' interests.

That's the nub of the problem. “If you look at the history of higher education,” says Gordon Davies, the longtime director of Virginia's Council of Higher Education, “the university was controlled

Thomas Jefferson sought to represent in his design of the Lawn—professors and students with diverse academic interests coming together in a single open space to pursue and create knowledge—if learning becomes just another consumer good?

## III

Déjà vu all over again. In 1828, the fellows of Yale College appointed a committee to examine “the expediency of so altering the regular course of instruction . . . as to leave out of said course the study of the *dead languages*.<sup>29</sup> The committee’s report reached far beyond its mandate to encompass the entire “nature and object” of higher learning; in its time, it was the most influential American treatise on the topic. Higher education histories generally treat it as a reactionary tract, a last-gasp defense of the old guard, but in its essence, it could be written today.<sup>30</sup>

At the time there was considerable clamor for Yale and other colleges to take a more populist approach—to provide greater access and pay more attention to what, then and now, are called the “practical arts.” The controversy was of sufficient gravity to engage the attention of the governor of Connecticut as well as local worthies and “the academical faculty.” Be more business-like, the critics were urging, or risk becoming obsolete. “From different quarters, we have heard the suggestion that our colleges must be *new-modelled*; that they are not adapted to the spirit and wants of the age; that they will soon be deserted, unless they are better accommodated to the business character of the nation.” Although this was the Jacksonian age, it might as well have been the internet age. The big difference lies in how Yale responded to the “suggestion.” While nowadays faculty and administrators are prone to dithering, the 1828 report rejected the idea of “accommodation” out of hand.

*... Can a university maintain the intellectual world that Thomas Jefferson sought to represent in his design of the Lawn—professors and students with diverse academic interests coming together in a single open space to pursue and create knowledge—if learning becomes just another consumer good?*

The bedrock purpose of a college education, the report concludes, is to "form the taste and discipline the mind." That is why the study of classics should remain a requirement—far from being a "dead" undertaking, it "lays the foundations of correct taste" and "forms the most effectual discipline of the mental faculties." The 1828 committee wasn't opposed to the idea of change. On the contrary: "*Salutary reform*," change that solidified the "higher principle," was welcome. The curriculum had to reflect advances in knowledge; as the report notes, Yale in 1828, with its courses in chemistry, geology, and political economy, was a far better place than it had been in 1714, when it taught only "the scholastic cobwebs of a few paltry systems, that would now be laid by as proper food for worms." Achieving a balance between teaching and research also required recalibrating. The report urges that senior professors, the superstars of their time, be largely freed from classroom responsibilities, enabling them to focus on research. Tutors, the nineteenth century's adjuncts (and probably better than professors in the classroom, the report surmises) should teach the basic subjects.

Even though Yale wasn't a public university, it was nonetheless vulnerable to public opinion. Presumably the governor, whose job gave him insight into the general sentiment, was appointed to the committee to add worldly wisdom. The report gives a nod in the direction of populism. "The public are undoubtedly right, in demanding that there should be appropriate courses of education, accessible to all classes of youth," it acknowledges, but Yale College wasn't equipped to deliver such instruction. Professional schools, trade schools, quick-and-dirty exposure to the liberal arts were worthy ventures—indeed, schools of law, medicine, and divinity were already part of the university—but those more specialized subjects didn't belong in an undergraduate liberal arts education. This is the sort of argument that a USC provost was making when he restored responsibility for general education to the liberal arts college.

Then and now, money was the institution's lifeblood. If the "treasury were overflowing, if we had a *surplus fund*," the report concedes, then "there might perhaps be no harm in establishing a department for a brief and rapid course" of liberal arts study. Still, the "higher principle" ruled the day—the mission of the college, "the *discipline* and the *furniture* of the mind," must not be compromised. Such a venture needed to be "as distinct as the medical or law school." In effect, the committee was proposing an extension program, although it didn't recognize what Darden, among many institutions of higher learning, have come to appreciate, that such ventures

can augment the treasury. Teaching short-term and college students together in an expanded institution was rejected because it jeopardized the value of a Yale degree. “It is a hazardous experiment, to act upon the plan of gaining numbers first, and character afterwards.” Shades of USC, cutting its freshman class in the early 1990s for just that reason; or Darden where, because of the revenues it generates, the executive program threatened for a time to eclipse the MBA program.

A liberal arts education promotes self-interest, the *private* good, by giving students the tools and the credentials they need to prosper as doctors, businesspeople, and lawyers, the report concludes. Yet such an education also promotes the interest of the commonweal, the *public* good, by molding students into citizens of the republic. The rhetoric is Jeffersonian, the consequence is to view public and private institutions in a similar light, for both serve the common interest. “Let the value of a collegiate education be reduced and the diffusion among the people would be checked, the general standard of intellectual and moral worth lowered, and our civil and religious liberty jeopardized, by ultimately disqualifying our citizens for the exercise of the right and privilege of self-government.” What makes the Yale report such an anachronism is not its defense of the classics, for curricula changes are a constant, but its bracing certainty about the institution’s mission. That committee understands something that, at points in their histories, the stewards at the University of Virginia seem to have forgotten: what the institution is—and what it is not.

Small wonder, then, that so much attention is currently being paid to the proposition that higher education should be opened up to greater competition—more radically, that government should leave the field to the market. How could it be otherwise when many institutions that call themselves col-

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leges and universities have abandoned the high ground that has given higher education a claim on the public resources of the society, forgetting that their purpose is speaking truth to power. In these circumstances higher education risks “losing sight of its own distinctive features and achievements”—indeed, “losing control over the very means by which its own identity is formed.”<sup>31</sup> 

#### END NOTES

- <sup>1</sup> John Henry Newman, *The Idea of University: Defined and Illustrated in Nine Discourses* (London: Longmans 1947 ed.); Thorsten Veblen, *The Higher Learning in America* (New York: B. W. Huebsh, 1918)
- <sup>2</sup> Jonathan Cole, Elinor Barber, and Stephen Graubard, *The Research University in a Time of Discontent* (Baltimore: The Johns Hopkins University Press, 1994)
- <sup>3</sup> Robert Frank, “Higher Education: The Ultimate Winner-Take-All Market?” paper presented at the Forum for the Future of Higher Education, Aspen, Colorado, 1999, page 3. See also Gordon Winston, “Why Can’t a College Be More Like a Firm,” *Change*, September/October 1997, pages 33–38.
- <sup>4</sup> Hunter Breland et al., *Summary Report: Trends in College Admission 2000: A Report of a National Survey of Undergraduate Admissions Policies, Practices, and Procedures* (March 2002), <http://www.airweb.org/page.asp?page=347>. In 1999, the average acceptance rate was 68 percent for public, 60 percent for private four-year colleges.
- <sup>5</sup> Richard Ruch, *Higher Ed, Inc.: The Rise of the For-Profit University* (Baltimore: The Johns Hopkins University Press, 2001); Gordon Winston, “For-Profit Higher Education: Godzilla or Chicken Little?” *Change*, January/February 1999, pages 12–19.
- <sup>6</sup> Christopher Jencks and David Riesman, *The Academic Revolution* (New York: Doubleday, 1968); Clark Kerr, *The Uses of the University* (Cambridge, MA: Harvard University Press, 1964). Both books have been revised and republished, Kerr’s book four times. Clark Kerr, “A Critical Age in the University World: Accumulated Heritage versus Modern Imperatives,” *European Journal of Education*, Vol. 22, pages 183–193 (1987) at page 184.
- <sup>7</sup> Compare Bill Readings, *The University in Ruins* (Cambridge, MA: Harvard University Press, 1995), whose title says everything, with James Duderstadt, *A University for the Twenty-First Century* (Ann Arbor, MI: University of Michigan Press, 2000). See generally David L. Kirp, *Shakespeare, Einstein, and the Bottom Line: The Marketing of Higher Education* (Cambridge MA: Harvard University Press, forthcoming, 2003) chapter 9.
- <sup>8</sup> Arthur Okun, *Equality and Efficiency: The Big Tradeoff* (Washington, DC: Brookings, 1975)
- <sup>9</sup> On June 2, 2003, the Texas legislature gave the state’s public universities full authority to set tuition. “Critics say students from middle-class families have the most to lose in a deregulated

lated system. Wealthy students will be able to afford the higher rates, and poor students can rely on financial aid." Will Potter, "Texas Legislature Gives Universities Power to Set Tuition," *Chronicle of Higher Education*, June 4, 2003 online edition, <http://chronicle.com/daily/2003/05/20030060040n.htm>

<sup>10</sup> Patrick Roberts, PhD candidate at the University of Virginia politics department, coauthored chapter 7 of *Shakespeare, Einstein, and the Bottom Line: The Marketing of Higher Education*, from which this section is drawn. Unless otherwise referenced, quotations are taken from interviews with administrators and faculty at UVA, as well as with state higher education officials.

<sup>11</sup> This distinction between internal and external markets is a matter of degree, not kind: at the University of Virginia, the fact that Darden is "taxed" only minimally has an impact on other campus units. The distinction is useful, however, as a heuristic device to shift the focus from the campus to the national market.

<sup>12</sup> See David Breneman, "The 'Privatization' of Public Universities: Mistake or Model?" *Chronicle of Higher Education*, March 7, 1997, page B4.

<sup>13</sup> Mark Yudof, "Is the Public Research University Dead?" *Chronicle of Higher Education*, January 11, 2002, page B24.

<sup>14</sup> See James Engell and Anthony Dangerfield, "The Market-Model University: Humanities in the Age of Money," *Harvard Magazine*, May-June 1998, pages 49-55; James Engell and Anthony Dangerfield, *Higher Education in the Age of Money* (unpublished manuscript, 2002).

<sup>15</sup> The law school has followed in Darden's tracks, becoming increasingly self-sufficient. Josh Goodman, "Law, Darden Eliminate All State Funding from Budgets," *Cavalier Daily*, November 21, 2002, page 1.

<sup>16</sup> Edward A. Snyder, Leonard W. Sandridge, and Peter W. Low, "Memorandum of Understanding," June 18, 2001.

<sup>17</sup> "1% Decline in State Support for Colleges Thought to Be First 2-Year Drop Ever," *Chronicle of Higher Education*, October 21, 1992, page A21.

<sup>18</sup> The commission proposed that select colleges and universities—those that could compete in a national market—"might become quasi-public entities that are responsible for all of their own operational processes." Commission on the Future of Higher Education in Virginia, "Making Connections: Matching Virginia Higher Education's Strengths With the Commonwealth's Needs," 1996, page 25.

<sup>19</sup> By what is described as a "gentlemen's agreement," 30 percent of Darden's entering class are Virginia residents. Those students pay \$5,000 less than out-of-state students, and the state makes up half the difference. The state also contributes more than half a million dollars annually in matching grants for "eminent scholars." And the state owns the buildings and the land Darden sits on, even though they were paid for with private funds.

<sup>20</sup> Senior managers at Hamburger University, McDonald's corporate training institute, were leery during a visit I made to the campus; each of them wanted to know who in the corporate hierarchy had authorized my visit. The concern, I was told, was that I was a spy for a rival company.

<sup>21</sup> Darden is not the only public institution that teaches proprietary materials in courses whose enrollment is restricted to company employees. Community colleges sometimes do the same. For example, Michigan Virtual Automotive College (MVAC) creates custom products to suit the needs of the Big 3 auto companies. MVAC became "a model for similar institutions . . . a plastics college, an office-furniture college, a hospitality and tourism college, an aviation college." Scott Berinato, "Big 3 U," *University Business*, September/October 1998, pages 23-27. Community colleges are not, however, typically viewed as in the University of Virginia's peer group.

<sup>22</sup> "Inside UVA Online," March 8-21, 2002, <http://www.virginia.edu/insideuva/2002/09/plan.html>

<sup>23</sup> Economics professor Edgar Olsen hopes that all fundraising becomes a responsibility of departments, not schools, a prospect that chills impoverished departments like classics. "If

## NONPROFIT HIGHER EDUCATION TAKES LESSONS FROM BUSINESS

the university were allowed to raise money by going through the individual departments, the total would be greater than raising money as a whole. When people complain about Darden having these lavish buildings and we have these crappy buildings, I say 'that's fine. We should go raise our own money.'"

<sup>24</sup> Letter to Joseph Priestly, April 25, 1800. Thomas Jefferson, *The Writings of Thomas Jefferson*, Paul Leicester Ford, ed., Vol. 7 (New York: G. P. Putnam's Sons, 1896), page 407.

<sup>25</sup> Letter to George Ticknor, Nov. 25, 1817. Thomas Jefferson, *The Writings of Thomas Jefferson*, Paul Leicester Ford, ed., Vol. 10 (New York: G. P. Putnam's Sons, 1899), page 96.

<sup>26</sup> Sam Bresnahan, "College Spending Inequities," *The Washington Times*, July 28, 2002.

<sup>27</sup> William Johnson, "Lawn of Averages," *Washington Post*, March 9, 2003, page B4.

<sup>28</sup> Robyn Meredith, "Re-engineer This!" *Forbes Magazine*, December 10, 2001, page 52.

<sup>29</sup> *Reports on the Course of Instruction in Yale College; by a Committee of the Corporation, and the Academical Faculty* (New Haven, CT: Hezekiah Howe, 1828), [www.higher-ed.org/resources/Yale/1828\\_curriculum.pdf](http://www.higher-ed.org/resources/Yale/1828_curriculum.pdf) (italics in original)

<sup>30</sup> See, e.g., Frederick Rudolph, *The American College and University: A History* (New York: Vintage, 1962), pages 131–135.

<sup>31</sup> Simon Marginson and Mark Considine, *The Enterprise University* (Cambridge, UK: Cambridge University Press, 2000), page 6.

# *Must Accreditation Change to Accommodate Public Accountability Expectations?*

*David Longanecker*

THE ANSWER TO THE QUESTION POSED IN THE TITLE IS Yes, accreditation must change to accommodate public accountability expectations. Saying this much is easy; understanding why it must change, and how this change should occur, is not so easy. The difficulty arises as soon as we look closely at the phrase “public accountability.” Before we even begin to consider how to overhaul accreditation to meet accountability goals, we must answer a question: accountable to whom?

There are two fundamentally different answers to this question. One group of stakeholders believes the answer is: accountable to the general public, or more specifically, to the state and federal governments representing the public. In their view, institutions owe public accountability, and accreditation is a key means of providing it. But another group of stakeholders answers the question differently; for them, accreditation must be accountable to academe. In their view, this voluntary process exists to help institutions and the academic enterprise improve through self-evaluation. The end goal is still to serve the public good, but through a process of introspection rather than external validation.

The tension between these two groups of stakeholders is not new, but seldom has it reached the heights it has gained in recent years. As the federal government begins to consider the reauthorization of the Higher Education Act, voices from within Congress and the Bush administration have

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raised concerns about the efficacy of accreditation as a viable mechanism for quality assurance.

Some in Congress wonder whether accreditation should be decoupled from the federal determination of institutional quality and integrity. Meanwhile, the administration, wishing to build on its substantial success in establishing national standards for elementary and secondary education through “No Child Left Behind,” is looking for ways by which similar standards can be established for postsecondary education, and is questioning whether accreditation can be a viable part of such a bold public accountability scheme.

*... The higher education community—and even its accrediting community—is not of one mind.*

At the same time, the higher education community—and even its accrediting community—is not of one mind. Some are calling for a national accreditation scheme, hoping to head off at the pass any federal effort that may be crafted during reauthorization. They see a national scheme as a kind of mosaic, built from

the current regional accreditation bodies.

Others accept that greater reliance on student outcomes is needed, but still argue that such outcomes must be based on an individual institution’s own terms. For them, the need for general accountability must somehow mesh with a central fact of American higher education: that our institutions are deliberately diverse—it is one of the things we treasure about them—and that we have traditionally been reluctant to impose a single set of standards. The dilemma, of course, is that absent a single set of standards, anything goes, an unacceptable situation among those interested in public accountability.

There are also some within the higher education community who are interested in radical reform. They are generally not comfortable with higher education’s incremental approach to reforming accreditation. Nor are they in synch with the concept of self-assessment as the driver of an effective quality-assurance mechanism; it simply lacks external validity.

#### OTHER VOICES, OTHER VIEWS

If the current accountability–accreditation conflict sounds a bit like a dissonant choral piece written for many voices, it is. And in fact, the debate over the public accountability role of accreditation has drawn forth a trio of other voices of particular significance:

- 1) Dissident voices from within the higher education community.
- 2) The voice of state leadership.
- 3) The voice of past federal administrations, a shaping force in the coming debate.

The dissidents are not exactly a secret society, or I should say, *we* aren't, for I count myself as one, though not as much as in the past. Numbered among the dissidents are a host of university presidents and other decision-makers, including the leaders of the American Council of Education. As a group, we are concerned not just about accreditation's efficiency as a tool for public accountability, but also about its efficacy for self-assessment. We are not convinced that its benefits exceed its cost—there is not enough value added to justify the hassle. And it is not exactly a modern tool: it is institution-focused rather than student-focused, and it assumes an integrity that no longer exists.

These critics also have a quintet of concerns about public accountability. For one thing, accreditation is not transparent—and secrecy is off-putting. Accreditation is not national but regional, which creates confusion in our increasingly national and international marketplace for higher education. Furthermore, in spite of all efforts to make it so, accreditation is not yet truly outcome-focused. It also lacks external validity because we judge ourselves. And lastly, it has no gradations: accountability is Pass/Fail, and almost everyone passes. Many thought such concerns would be allayed by the Council for Higher Education Accreditation (and by the selection of its exceptional leader, Judith Eaton, to head up the new organization), but not everyone is satisfied.

The voice of state government is more difficult to characterize. Officially, the states believe in accreditation; after all, they require it. But in fact, they do not have a good idea of what it is. Most rely on the US Department of Education (DOE) to approve accreditors without really knowing the DOE's criteria. Several states claim to be their own "accreditors," although DOE only recognizes one—New York—and in another—Delaware—one agency says the state accredits, another says it doesn't.

*... We are concerned not just about accreditation's efficiency as a tool for public accountability, but also about its efficacy for self-assessment.*

*When state governments—particularly governors—take a close look at accreditation, they tend not to like what they see . . . .*

#### **EVERYTHING OLD IS NEW AGAIN**

Our last voice—the federal voice from days gone by—is a shaping force in our current debate. The Feds and the DOE are true believers when it comes to public accountability. Why? The first reason is philosophical: they need to justify their expenditures. The second is grounded in practical experience: they have been burned in the past. To reinforce its faith in accountability, the federal government historically has relied on a “triad” relationship among three agents: accreditation, to ensure academic viability; states, to protect consumer interests through state institutional review and approval processes; and themselves—the federal government—to monitor compliance with federal laws and to ensure institutional financial viability.

By way of background showing how the past is being played out in the present, the 1992 amendments to the Higher Education Act repudiated the efficacy of the accountability triad, as it then existed. Accreditation was generally repudiated and only reluctantly retained as a partner in the triad, but with new standards. The states were tapped to take the lead in providing

Confusing? It could be worse. When state governments—particularly governors—take a close look at accreditation, they tend not to like what they see, for the same reasons mentioned earlier. First, its secrecy is antithetical to public accountability. Second, they love competency based on activities, but we eschew standards-driven outcomes measurement. Third, they see the process, driven by the very institutions that are being evaluated, as lacking in validity. And lastly, they are vexed by its lack of specificity: we refuse to say who is really good, who is just okay, and who is not so good—and they want that.

They have other concerns as well. They feel we are arrogant and exclusionary, particularly to new providers they value, like for-profit institutions. They see us as irrelevant; they have their own ways—for instance, state scorecards—of providing accountability. And they think we are inefficient: as just one example, they see our views and practices on the issue of transfer as archaic, based on a concept of a student that is no longer the norm.

public accountability through the newly created State Postsecondary Review Entities (SPREs). But the 1992 amendments lost their luster, not because of their failure, but because of the possibility of their success; they promised serious public accountability, which threatened many in the higher education community, and when political winds shifted in 1994, federal policy retreated back to patterns similar to the old triad, with only modest improvements.

What drove the 1992 amendments are the same three forces driving the current discontent. First is the maturing of public policy around accountability: the “trust me” days are over. This has led to a focus on four public purposes: equity for all citizens, Ben Franklin-style efficiency (“A penny saved is a penny earned”), workforce development, and a focus on measuring learning outcomes and competency.

A second driver is the disconnect between public interest in consumers—students and employers—and our focus on producers (institutions). And the third is a lack of knowledge or outdated information that leads some stakeholders to judge higher education by facts that were current more than a decade ago. Many of these concerns have since been addressed well by accreditation and higher education, but we have failed to communicate that to these stakeholders. In fact, leaders within higher education often propagate these concerns through their horror stories about the unnecessary excesses of accountability reporting requirements, which force them to increase administrative costs, and so forth.

Given all this, must accreditation change to accommodate public accountability expectations? The answer is, *it depends*. If accreditation is to be used as a tool for public accountability, then yes, it must change—a lot. Today, it serves us adequately as a tool of quality assessment and improvement, but not as a means of quality assurance in the public sphere.

But is public accountability a role that accreditation needs to play? Perhaps the original question—must accreditation change to accommodate public accountability expectations—is the wrong one. Perhaps the real question should be whether accreditation should even be focused on public accountability. Should this be left to others?

*Perhaps the real question should be whether accreditation should even be focused on public accountability.*

*The accrediting community can choose to be a part of this quality-assurance environment, or not. But if accreditation does remain a part of it, it must change substantially in order to become a viable partner in the undertaking . . . .*

If accreditation stuck to self-assessment, other forces would fill the void. What forces are those? The states, with or without accreditation, will continue to become more involved in issues of public accountability, at least for the public sector of higher education and perhaps for its entire spectrum. Indeed, the states are exploring some of the most creative efforts to assess student learning through outcomes assessment. The federal government also has heightened interest in standards-based quality assurance, and could seek to develop national standards and measurements, as the governments of many other countries have done. Or the void could be filled through an international alliance such as UNESCO or GATE (Global Alliance for Transnational Education), or by a nonpublic but publicly recognized entity similar to Standard and Poor's or the Baldridge model.

Public accountability will occur. The accrediting community can choose to be a part of this quality-assurance environment, or not. But if accreditation does remain a part of it, it must change substantially in order to become a viable partner in the undertaking, because its current practices do not satisfy the public appetite for accountability. If it chooses not to change or not to be a part of the public accountability scheme, it can still function importantly as an internal quality-improvement mechanism. But it must also prepare to become irrelevant to public policymakers, who will find other ways by which they can hold institutions of higher education publicly accountable for their use of the substantial public subsidies they receive. ☀

ARTICLES ON  
ASPECTS OF  
CONTINUING  
EDUCATION





# *Measuring the Value of Continuing Education— Application of the Value Creation Index*

*Daniel Shannon*

UNIVERSITY OF CHICAGO<sup>1</sup>

## INTRODUCTION

UNITS OF CONTINUING HIGHER EDUCATION ARE INcreasingly confronted by the challenge to demonstrate their value to a parent college or university, almost always in financial terms. This is understandable given the changing environment in which institutions of higher education currently operate: reductions in state support, increased competition for both students and development funds, changing conditions of the market, and decreases in endowment payouts, to name but a few. This financial expectation of continuing education is in reality a bundle of concerns, including the effectiveness of our management of costs, the efficiency of our organization, the match of staff and mission, our choice of and responses to markets, our strategy and execution; these expectations are too simply expressed in a bottom line statement of financial performance that says we fell short, met, or exceeded year-end financial expectations of the college or university.

It is the argument of Jonathan Low, a researcher in CapGemini Ernst & Young's Center for Business Innovation and developer of a new measurement approach and tool—the Value Creation Index—that "traditional methods of assessing organizational performance are no longer adequate in today's economy . . . value in today's [organizations] is increasingly represented in

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*... An environment  
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importance of  
intangibles . . .*

intangible drivers like innovation, people, ideas, and brand.”<sup>2</sup> This approach intends to link non-financial performance and a valuation of the organization. That is, to provide “a set of levers that, if effectively applied, can improve corporate performance” and the bottom-line.<sup>3</sup> Intangibles refer to many aspects of an organization’s performance: strategy execution, intellectual capital, people, know-how, relationships, systems, work processes, all sharing a common attribute that they drive economic performance. “They don’t show up on a balance sheet or income statement—yet, they are all manageable and usually quantifiable drivers of corporate-value creation. They’re the source of invisible advantage.”<sup>4</sup>

Low and his colleague Kalafut argue further that an environment of increasing competition has amplified the strategic importance of intangibles; that one’s competitive advantages are the “assets and competencies that are hardest for competitors to emulate.”<sup>5</sup>

Developed with a focus on corporate performance, the value creation approach is now finding a receptive audience among European universities and research organizations, who are experiencing, as well as their American counterparts, an increased competition for resources as more and “different kinds of organizations and institutions have been increasingly investing in knowledge-based resources and processes . . . investments in training, research, innovation . . . [partnerships], or organizational development.”<sup>6</sup> This increased competition has raised the question of how organizations manage these resources and processes, suggesting that the activities of these centers are not self-explanatory, thus benefiting from “interpretation and communication in a way that is comprehensible to all relevant stakeholders.”<sup>7</sup> This has found concrete expression in increasing the interest, for example, of the Austrian Research Centers Seibersdorf (ARCS) “in improving the transparency of its intangible assets and results that are not supported by the traditional reporting systems.”<sup>8</sup>

Those in the Europeans Association of Research Managers and Administrators (EARMA) who have been interested in the application of the notion of intangible drivers have concluded that organizations employing the tool will be in a better position to:

- “create transparency about the use of public funds,
- explain the achievements of research and the benefits to stakeholders,
- illustrate the development of intangible assets,
- reveal leverage effects and externalities,
- communicate (new) organizational values,
- demonstrate their competitiveness.”<sup>9</sup>

They conclude that managers, academics, and administrators of universities and research centers that move in the direction of applying the approach will be more advantageously positioned to promote their organizations’ development in the face of increased competition.

In the specific instance of the Graham School of General Studies at the University of Chicago, the School leadership was motivated by several goals to undertake the application of the Value Creation Index to its operations: to position the school correctly in an increasingly competitive environment; to find an alternative means of measuring the performance of the school than year-end financials, thus focusing on other dimensions of performance we could manage; and to give focus to a goal of becoming a data-driven organization identified in the strategic plan. The development of this application has enabled the management team to build a framework that focuses attention on the identification, measurement, and correction of the critical elements of the School’s activities that build value and that in the aggregate are responsible for the success or failure of the School in accomplishing its strategic plan, meeting its bottom-line financial responsibilities, and the achievement of its mission. It has as well focused the attention on data for those whose propensity is to be measurement averse.

The process has had the salutary side-benefit of encouraging conversation among the leadership, and on occasion the staff, regarding fundamental,

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underlying values and direction of the School. These conversations have built an understanding and tolerance for different viewpoints and vision and forged opinion about what is or is not important about the School.

### PROCESS

The actual application of the concept of identifying and managing intangible drivers to improve performance and demonstrate value required the translation of the concept, as laid out by Low and Kalafut in *Invisible Advantage*, from a for-profit context to a not-for-profit or university context. This was a necessary precondition to understanding its utility and application and became the lens for the version of the definitions of intangibles ultimately adopted. This translation process is invited, as a matter of fact, by Low and Kalafut as they advise that “some readers will want to change the list [of intangibles] a little; others will insist on different titles and descriptions . . . the real issue . . . isn’t whether you use one term or another but how you manage intangibles so as to optimize their value, and thus the value of your [organization].”<sup>10</sup>

The employment and management of intangibles as a device for improvement of performance involves five strategic steps.<sup>11</sup>

- 1) **Determination of intangibles critical to the organization.** Organizations vary, suggesting that intangibles important to the performance of one may not have equal importance in another. The focus is on the key or critical intangibles for a specific organization, which may result in focusing only on several.
- 2) **Decision on metrics for key intangibles.** Some measurement is already occurring in most organizations. An assessment of the utility of those data in measuring the important intangibles is the initial step. Then determine what further data are needed. Remember to be brutally economic, “the key to having a successful set of metrics is paring down your database to the vital few key metrics that are linked to your success.”<sup>12</sup> Assure, as well, that the metrics focus on past, present, and future. The decision about metrics was facilitated by the development of expected outcomes for each of the drivers and keying the metrics to those outcomes.
- 3) **Creation of a baseline and benchmarking against competition.** Creating a baseline of intangibles performance provides the basis for capturing movement on the several dimensions of the intangible and thus measuring improvement in per-

formance over time. Benchmarking, when that is possible, provides a glimpse of your standing relative to competitors.

- 4) **Development of initiatives to improve performance on critical intangibles.** The employment of this process provides the basis for action, since it is premised on the notion that you can manage the key intangibles, that is, performance can be managed and improved.
- 5) **Communicate what you're doing.** Transparency is a critical element to the intangibles process. If one expects to demonstrate value to the parent college or university, openness about metrics and targets, reporting expectations and performance will be critical to achieving credibility and expanding the viewpoint of the stakeholders important to the continuing education unit.

## INTANGIBLES

In the research conducted by Jonathan Low for CapGemini, 12 key intangibles were identified as important to measuring the value of an organization. However, the critical set for any organization or industrial sector would likely be a smaller subset of these 12 and they would be peculiar to the character of the organization and recognizable by its leadership. Low's list of key intangibles can be divided into three subsets. One focuses on leadership and the management capacity of the organization. The second attends to external intangibles as in brand, networks, and alliances. And the third focuses on the internal organization, including culture, human capital, or talent.

### Subset A: Management Capacity

Leadership  
Strategy Execution  
Communication and Transparency

*If one expects to demonstrate value to the parent college or university, openness about metrics and targets, reporting expectations and performance will be critical to achieving credibility . . .*

**Subset B: Relationships**

- Brand
- Reputation
- Networks and Alliances

**Subset C: Organization**

- Workplace Organization and Culture
- Technology and Processes
- Human Capital
- Innovation
- Intellectual Capital
- Adaptability

These intangibles align well with the conclusions of Nohria, Joyce, and Roberson regarding essential management practices that result in superior business performance recently reported in the *Harvard Business Review*. Though they argue that a more focused set of intangibles is critical to excellent performance in “What Really Works,” they conclude that organizations in the research that stood out in performance over a ten-year period excelled at “four primary management practices—strategy, execution, culture, and [organizational] structure . . . supplemented . . . with a mastery of any two out of four secondary management practices—talent, innovation, leadership, and mergers and partnerships.”<sup>13</sup>

In applying the first step in the Value Creation Index (VCI) process, identification of key or critical intangibles, the School leadership spent several weeks clarifying the meaning of the 12 intangibles presented by Low in terms of the culture of the University, the mission of the School, and the competitive environment in which it operates. This work of redefinition culminated in a prioritization of the variables, with the goal of reducing the 12 to an essential subset of five or six. This process resulted in the following outcome:

Leadership	(38)
Reputation	(35)
Strategy Execution	(34)
Human Capital	(31)
Technology and Process	(21)
Communication	(20)
Brand	(20)

The scores following each intangible represent the aggregate score achieved by each in the process. A maximum score would have been 55, requiring the scorers to have ranked a single item on the list as more critical than any other item in an item-to-item comparison.

In the course of developing outcomes and metrics the list was reduced to six intangibles by focusing on reputation—that is, people's perceptions or what a student thinks of the School—rather than brand, the “cluster of attributes and emotions a customer associates with a particular product or set of products, including the product's value and functionality.”<sup>14</sup> This decision, driven by the need for some efficiency in the work of the group, was justified by reference to our inability to enhance the brand of the University, at best co-branding the School, but having the ability to affect the reputation of both the School and the University; hence, the need for focus on managing the reputation actively.

We further refined the technology and process intangible by focusing on “process,” with the justification that beyond any technology-supported instruction, our dependence upon technology to support processes or systems was limited, that the non-financial driver in our instance lies more in the work processes of the School than in technology itself; that is, we would strive for well-executed processes, some of which would be supported by technology, but the spotlight would be on the delineation and execution of processes, such as payroll and hiring, course material production, onsite management of courses, communication with instructors and students.

Leaving aside leadership for the moment, of the three remaining intangibles in the cluster we defined as pertinent to the School, communication is centered on clear, coherent, and open interactions with salient stakeholders, including community, faculty, and administration. Human capital concerns both staff and the workplace, centering

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education unit.*

on the drivers of recruitment, retention, professionalism, compensation, learning, and workplace satisfaction. Strategy execution—in Low's words, “the . . . [organization's] ability to do what it says it is going to do,”<sup>15</sup>

assumes both that a strategy exists, that is “a simple, focused value proposition that is rooted in deep, certain knowledge about your . . . [organization's] target customers and a realistic appraisal of your own capacities,”<sup>16</sup> and that there is a disciplined attention to operations.

By way of illustration for the balance of the discussion, let us concentrate on the intangible of leadership.

#### DEFINITIONS

The key drivers identified by Low and Kalafut for leadership, which in their view is essentially the domain of the CEO, are:

- **Creating a vision:** imagining and articulating an image of why the organization does what it does, why it matters, and where it is going.
- **Developing the management team:** expecting the CEO to “set policies and procedures that determine whether people's talents will be cultivated, expanded, and encouraged.”<sup>17</sup>
- **Setting the cultural tone:** creating the symbols that create, maintain, and communicate a workplace culture that strives for excellence, that is, the norms and beliefs that shape those attitudes and behavior in the workplace that support excellence in performance.
- **Planning for succession:** assuring the successful transition of leadership.

In Low's words, “Leaders either lead or don't lead. Successful ones articulate a vision, develop the people under them, create a culture in which people learn to work hard and cooperate, and plan for their own

replacement . . . leadership starts at the top, [but] it doesn't end there."<sup>18</sup> While we certainly agreed with his assertion of locus and responsibility, our view ultimately was that School leadership in the framework suggested here is a collective responsibility of a leadership team, not a single individual, though leadership is a critical responsibility of the dean or director of the continuing education unit.

Further, in discussing this set of drivers, we concluded that planning for succession in the manner envisioned in the corporate sector was extremely difficult in an academic setting. This conclusion, however, did not absolve us of the need to take responsibility for the development of leadership within the School with the goal of preparing each senior staff member for eventual assumption of a chief executive leadership role regardless of institution.

Our discussions of the essential drivers of performance began with the set of four outlined above. But it became apparent in examining the needs of the School and the expectations of School leadership that the list required expansion. Thus the enhanced list, in addition to the first three on Low's list—vision, management development, and setting the cultural tone—includes:

- **Building support and advocacy for the School:** it is the view of the team that a principal responsibility of leadership is to build, manage, or maintain structures and processes that engage various critical stakeholders in the School in a manner that builds loyalty for the mission that translates into support and advocacy.

## OUTCOMES

While not defined as a critical step in the VCI process, we concluded in conversation with Low that a useful tool for driving the task of defining metrics that create a baseline for measuring improvement and support the benchmarking of competition would be a statement or list of desired outcomes for the intangible drivers. In the instance of leadership, we concluded that the following were key:

- **Superior staff and faculty:** in our recruitment and development of staff and faculty we would not tolerate second best.
- **High staff retention:** we will strive for minimal staff turnover, with the goal of retaining the best.
- **Improving market share:** we will strive for a constantly improving share of the continuing education market in those areas in which we choose to program.

- **Active and positive institutional, faculty, and community support:** an across-the-board support of the School in acceptance of our budgets, the recruitment of ladder or statutory faculty to teach and advise us on program development, and consistent acceptance of degree and certificate proposals submitted to the faculty.

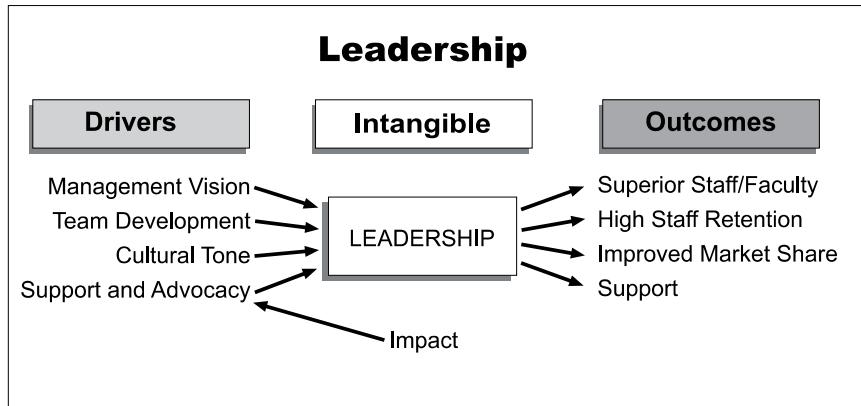
## KEY METRICS

The articulation of outcomes of effective leadership provided the discipline to define key metrics necessary for measuring improved performance in the School. In the final analysis the team agreed upon ten metrics to support an assessment of the performance of leadership.

- **Quality of new staff and faculty:** essentially a qualitative measure that includes an assessment of quality on the basis of previous positions held, academic preparation, and standing in the field through publications and presentations, recommendations, awards, and professional association activity including leadership positions.
- **Retention statistics:** an annual assessment of staff turnover, including reasons for termination.
- **Commitment of campus resources:** extent to which the University has made resource commitments to the School, including space, computational support, positions, and funds.
- **Acceptance of budget proposals:** outcome of the annual budget process.
- **Revenue:** gross and net revenue position.
- **Enrollments:** assessment of enrollment by program areas.
- **Degree and certificate proposal acceptance:** rate at which faculty have voted positively on proposals submitted by the School.
- **Community and faculty participation rate:** extent to which community members and faculty participate on School advisory and visiting committees and boards.
- **Leadership goals for professional development set and met:** rate at which professional development goals are set and met through annual review process.

- **National leadership:** extent to which leadership of School assumes national leadership roles in organizations and associations critical to the mission of the School.

In its final configuration the leadership intangible would look very much like the following figure.



Data for key metrics already exist in various files and databases within the School. Upon completion of the sequence of tasks defining drivers, outcomes, and metrics, a matrix was developed to display several key pieces of information and drive the refinement and development of essential reports. For each metric, within the matrix, we have defined the data collection point, which may be an event—board meetings or a hire—or a date; the source of information; the report in which the data will appear; and the periodicity of the report. At this point in the development of the process it is estimated 15 reports will contain all of the data required to measure the performance of each of the six intangibles, and of that number more than half already exist.

## CONCLUSION

In the same manner as the leadership intangible described above, the team has defined outcomes and metrics for each of the remaining key intangibles: communication, reputation, technology and processes, human capital, and strategy execution. The identification of this set of key intangibles represents a collective judgment by the leadership team of the critical non-financial intangibles that drive successful performance by the School and provide a framework for measuring improvements in performance. The process,

as well, has reframed the content and approach to communicating with administration, faculty, and community the value of the School and its performance. In addition, the work furthers the goals of the School's strategic plan by making data driven decisions and supporting both the mission and vision of the School. 

### FOOTNOTES

- <sup>1</sup> The work of adapting the Value Creation Index to the operations of the Graham School of General Studies at the University of Chicago has been the ongoing task of the senior management team of the School, including Associate Deans Chris Guymon, Jeff Rosen, Jamie Stanesa, and the author. This article draws upon a presentation made by that group reporting on their work in progress to the 88th Annual Conference of the University Continuing Education Association in Chicago, March 2003.
- <sup>2</sup> "Value Creation Index, The Determinants of Value are Changing," [www.cbi.cgey.com/research/current-work/valueing-intangibles/](http://www.cbi.cgey.com/research/current-work/valueing-intangibles/).
- <sup>3</sup> Baum, Geoff. "Introducing the New Value Creation Index." Forbes ASAP, [www.forbes.com/asap/2000/0403/140\\_print.html](http://www.forbes.com/asap/2000/0403/140_print.html).
- <sup>4</sup> Low, Jonathan and Kalafut, Pam Cohen. *Invisible Advantage: How Intangibles are Driving Business Performance*. (Cambridge, MA: Perseus Publishing) 2002, page 6.
- <sup>5</sup> Ibid., page 27.
- <sup>6</sup> "Valuation and Evaluation of Intangibles in Universities and Research Centres," [www.earma.org/WG/vimak/intangibles.html](http://www.earma.org/WG/vimak/intangibles.html).
- <sup>7</sup> Ibid.
- <sup>8</sup> Ibid.
- <sup>9</sup> Ibid.
- <sup>10</sup> Op. cit., Low and Kalafut, page 207.
- <sup>11</sup> Ibid, pages 213-219.
- <sup>12</sup> Brown, Mark Graham. *Keeping Score: Using the Right Metrics to Drive World-Class Performance*. (New York: Quality Resources) 1996, page 4.
- <sup>13</sup> Nohria, Nitin; Joyce, William; and Roberson, Bruce. "What Really Works." *Harvard Business Review*, July 2003, page 43.
- <sup>14</sup> Op. cit., Low and Kalafut, page 110.
- <sup>15</sup> Ibid., page 71.
- <sup>16</sup> Op. cit., Nohria, Joyce, and Roberson, page 45.
- <sup>17</sup> Ibid., pages 68-69.
- <sup>18</sup> Ibid., page 71.

# *University of Wales, Lampeter: Perceived Value and E-Learning*

*Ian Roffe*

UNIVERSITY OF WALES, LAMPETER

## INSTITUTIONAL BACKGROUND

UNIVERSITY OF WALES, LAMPETER, IS THE OLDEST UNIVERSITY in Wales, founded in 1822. It was established by the Bishop of St. Davids to educate Anglican clergymen unable to afford Oxford and Cambridge. The original mission of the university was to provide higher learning in arts and humanities, a central purpose that remains intact. The university has remained small, with 1,000 or so full-time students in residence, some 200 graduate and 800 undergraduate students, but the population of the small town of Lampeter is boosted by 50 percent during term time. Scandinavian students often say that the area is an exotic part of Europe, due to the unique local cultural and bilingual (Welsh and English) context.

Like many institutions of higher learning, the University of Wales, Lampeter, is expected to perform over a range of parameters. Situated in a relatively remote rural area of west Wales, it is away from the more obvious centers of commercial, industrial, and services activity in Wales. Rurality, the relative remoteness, and the small scale of operations are all critical factors that force the testing of novel solutions. Clients face barriers to access conventional education that include inappropriate location, timing, form of opportunity, and difficulties of finding information about what is available

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to meet their needs. Superimposed on these are geographical, economic, and logistical barriers to access.

Continuing education started formally in the university 20 years ago.

*To develop and deliver provision in this area means that we must confront not only conventional issues of overcoming resistance to change, motivating faculty, and encouraging collaboration, but also a range of issues including business management, competitive strategy, and performance.*

The aim to develop enterprise in graduates was very novel for the United Kingdom (UK) at the time. Since then, public policies have strongly influenced continuing education and business developments. A rapid growth in student numbers and courses occurred during the '90s, which accompanied government policies to increase access to higher learning for disadvantaged groups. The university also advocated and adopted another UK higher education policy, "mainstreaming," which meant moving credit-based continuing education provision into delivery by subject-based departments and faculty. Among the most recent policy directions for universities is the development of "third mission" activities, which means directly contributing to the social, community, and economic development of the region. My department fits into the organizational structure, therefore, by helping to lead the third mission portfolio of the University. We operate noncredit continuing education courses for social and community purposes, support graduates in their business start-up and spin-out activities, help firms with their knowledge transfer needs, and advise university staff and faculty on the development and execution of wealth creation activities.

Today in Lampeter as elsewhere, continuing education serves a range of different audiences: professionals, lifelong learners, and technology-supported distance students in local, regional, and

international markets. New continuing education curricula, educational processes, and technologies have been designed for e-learning. The local contextual features make e-learning an attractive proposition for clients. Among the target groups at Lampeter are local small businesses. To develop and deliver provision in this area means that we must confront not only conventional issues of overcoming resistance to change, motivating faculty,

and encouraging collaboration, but also a range of issues including business management, competitive strategy, and performance.

### EDUCATIONAL ENTERPRISE AND E-LEARNING

Educational enterprise conveys all the actions to develop continuing education in a creative and businesslike way. The reasons for doing so are now very familiar: a changing context for higher education; increased competition for students and resources; a shift of emphasis from faculty and teaching to students and learning; raised expectations in applying technology to support learning. These trends are not new, but have emerged in recent times as relatively more important than others, as they are driven by both the demands of increasingly competitive markets and the supply of ideas and information at much faster speeds and lower costs. Decision-makers in every institutional context have concluded that in order to continue to be successful, it is necessary to function in an entrepreneurial manner and compete for business and students. Consequently, learning methods and management approaches that offer promise and seem practicable are applied eagerly to improve the performance of a department or institution.

In this context, e-learning appears as an opportunity to reconfigure delivery and support without seemingly sacrificing the quality of learning. Internet-supported learning, especially distance education, has made a major impact on the flexibility of teaching and learning processes. A whole set of services has opened up, such as networking students and giving them the ability to participate in online discussions. Opportunities exist for an educational enterprise to innovate and amplify demand with e-learning, and these are compelling reasons for engagement with the practice.

Many other providers offer e-learning services to the same market of local small firms. This prompts the questions: When a client is faced with many offers for e-learning, where does a continuing education provider gain an advantage? With e-learning available from everyone, why should a customer register with one educational enterprise rather than any one of

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a host of others? These are crucial considerations in trying to establish a sustainable competitive position. Many observers of competitive advantage in various industries believe it lies in the value of intangibles.

### VALUE FROM INTANGIBLES

Today's big problem for business is that most of the world's industries can produce far more goods than customers can buy. Overcapacity leads to hypercompetition and price wars. Currently, the overproduction of goods and services by corporations is causing a re-examination of the competitive dimensions of an enterprise and the techniques of valuing intangibles that enable enterprises to compete on something other than price. Education is intangible. E-learning, due in part to the fuzziness of interpretation, is even more intangible than traditional learning. It is also an area of delivery where a degree of crossover activity occurs, with for-profit and nonprofit providers seeking to supply the same market segments. Many management tools originate in the corporate for-profit world, where they can give a business a temporary edge over competitors, at least until rivals catch up by replicating the practice.

Decision-makers in continuing education have witnessed an explosion of management tools such as business process re-engineering, total quality improvement/continuous quality improvement, and benchmarking (Birnbaum, 2000). Virtually every management idea contains a grain of value for some organizations. Keeping up with these ideas and tools and deciding which ones to use are becoming an essential part of every professional's responsibilities. These management tools are valuable, however, only if they help to improve performance. Applied with this end in mind, they can be an important part of the change process to improve decision-making. Better decisions lead to improved capabilities that can serve student needs better than the competition. These competitive advantages can then drive improved performance and superior results.

Measuring intangibles has attracted attention recently as a means of competing on value. Stewart (1997) identified interesting ways to measure the contributions to human capital. One way is through innovation, by measuring the gross margins on new products compared to old ones. Another way is by employee attitudes—employees who feel they are learning and valued tend to be more productive. Other measures include tenure, turnover, experience, and learning, which can give an indication of a firm's ability to retain and grow its talent base.

Achieving a competitive edge will depend largely on how an organization manages both its intangibles and its financial assets, according to Low and Kalafut (2002), who attempt to quantify the influence of ideas and relationships on decision-making using a value creation index. They estimate that one-third of an organization's value is derived from intangibles—elements that cannot be seen, such as brand, reputation, strategy execution, innovation, and culture. Low and Kalafut could not establish any statistical connection to market value for two value drivers: technology and customer satisfaction. Technology, they concluded, is so essential to any company that its value is neutralized. Customer satisfaction measurement helps to determine customer requirements and identify better ways to anticipate and fulfill them, but this did not register with them as a value driver. It might be the case that customer satisfaction is embedded into other factors such as quality or innovation, or could mean that a particular level of customer satisfaction is necessary to remain competitive. However, maximizing satisfaction levels does not offer competitive advantage compared with other value drivers.

Implementers of e-learning come from many educational settings. Delivery can originate often from an individual faculty member or by a small group. These are not likely to have the leverage to exert significant managerial influence on the overall system of the educational enterprise in which they work, although they still can be expected to carry forward the values of the institution. The relatively decentralized structure of a university can also make it difficult to integrate all the systems and processes as well as manage the interactions with clients. A development group also needs to be sufficiently agile, open, and responsive to perceived needs and values in the client group as e-learning applications diffuse through a market. This means that a full system-wide approach is not always possible. Observations on the extension of e-learning to small firms, however, reveal some of the options open to a small group in a university setting for sustaining value.

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### SMALL FIRMS IN WEST WALES

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When internet-supported learning applications first appeared in 1997, they attracted the attention of continuing education innovators to practices that presented many unknowns, including the response of innovators and early adopter clients. At Lampeter, delivery to small firms is an institutional priority because it is a direct way to support the local economy. However, gathering evaluation information with this target group is a problem, especially calculating Return on Investment (ROI), due to the cost as well as the difficulties of accessing financial data. Complicating factors often include the separation of variables in the workplace and the accurate attribution of improvements. For an external provider, miscommunication and time pressures in the client firm can lead to unnecessary delays, all of which ultimately add to the costs.

It is a common view therefore, that a full ROI analysis across a company can cost more than the design and the delivery of a program. Conventional

ROI approaches might be of interest to the small firm client, but costly for a provider to perform. A relatively simple approach is to calculate the costs associated with travel and absence from the workplace. More effort can then be expended on determining the dimensions of value perceived by the small firm client, information that can be applied to sustain a competitive advantage for the provider.

Small firms are notoriously difficult to service. Our experience is that they are not a homogenous group, and that diffusion of e-learning is relatively slow among them. According to the technology adoption cycle, innovation is diffused in distinct phases (Moore, 1991). This adoption model predicts that when a marketplace is confronted with the opportunity to switch to a new paradigm, such as from stand-alone CD-ROMs to internet-supported learning, customers are distributed along an axis of risk aversion. The risk-immune innovators are in the forefront, the risk-averse laggards at the rear. In between, the model identifies three additional communities: early adopters, early majority, and later majority. Although many markets for e-learning are maturing, this is not the case as yet for our client base of small firms in Wales, where firms are still working through early adoption stages.

Each community of adopters in the technology life-cycle model represent fundamentally different customers that require unique approaches: early innovators are offered a sales proposition in one way, the late majority, another. A key idea of the model is that the behavior of early adopters may reveal how the mass market will respond. Successful providers are not necessarily those able to innovate with a new product, however, but rather those enterprises able to move successfully from consumers in one phase to consumers in another. Focusing marketing onto a segment of the population that will adopt technology a little ahead of the rest seems a crucial activity in getting mainstream acceptance of a product. This knowledge can help plan a communications strategy for future launches (Rogers, 1995). Innovators and early adopters are critical to the successful launch of a new product, but they are estimated as representing typically only 20 percent of the total market. Each phase of the adoption cycle has such fundamentally different customers that the goal is to create enough momentum to cross from one phase to the next, an activity that does not take place in isolation.

In an open business environment, it is inevitable that competitors try to match the value in an initial e-learning offer. Porter's classic model of the competitive forces on a business in an industry describes how the economic value created by a service is divided between enterprises in an industry. An equilibrium exists among five forces: the threat of new entrants, bargaining power of buyers, bargaining power of suppliers, the threat of substitutes, and the extent of the rivalry between competitors. The five-forces model has been applied to the analysis of competitive rivalry in the e-learning industry (Collis, 2001, pages 7-24). Strategic analysis such as this gives an insight into the generic forces at an industry level, but reveals less about the practical responses for small e-learning providers.

The source of competition also varies from country to country; whereas in the US it arises from a mix of commercial and public providers, in west Wales it is predominantly from public sector colleges and universities.

*Focusing marketing onto a segment of the population that will adopt technology a little ahead of the rest seems a crucial activity in getting mainstream acceptance of a product.*

Direct competition comes from other e-learning service providers and also from substitutes by other modes of learning, such as conventional classes, part-time evening classes, or traditional open learning courses that existed before the arrival of e-learning. In order to compete with them, an educational enterprise needs to ensure that its e-learning service remains different from the products offered by rivals.

E-learning can create value, reduce costs, or achieve a combination of both. Perceived value can be delivered to clients in different ways. Value can be built by more accessible modes to educational content, or creating personalized learning tracks, or assembling and sharing knowledge among employees, networks, or peer-learners. Establishing a competitive position means making a different form of offer to tempt clients to enroll, and therefore places a responsibility on the provider to create a value proposition that will fit different market requirements.

### COSTS AND PERCEIVED VALUE FROM E-LEARNING

One way to judge the value perceived by a client, and consequently the influence on sustaining a competitive strategy, is by a Customer Matrix (Faulkner and Bowman, 1995). The aim is to show the effects of changing price or value, and thereby clarify the significant actions necessary to maintain a competitive edge. Two parameters, Perceived User Value (PUV) and Perceived Price, create the matrix. PUV refers to the satisfaction of a client in purchasing and using a service; Perceived Price comprises the elements of price that the customer is concerned with. For example, in purchasing an e-learning program, the client may be concerned less with the initial cost of enrollment than with the recurrent costs to completion or the loss of employee time for study.

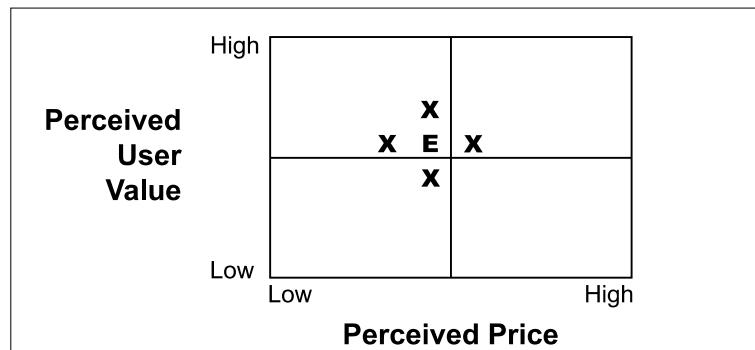


Figure 1: Competitive moves on Customer Matrix

The competitive moves available to an e-learning enterprise (E) surrounded by other providers (X) as alternative suppliers are shown in Figure 1. The competitors cluster around E, as they all appear to a client to offer similar products and prices. All suppliers, in principle, have a similar share of the market. An educational enterprise can try to improve its competitive position by changes in Perceived User Value and Price. Most of the possible moves have disadvantages that can lead an enterprise into a different segment, a reduction in market share, or tradeoffs between being cheaper or better. Nevertheless, two basic strategic choices are viable: cut prices or raise the PUV of the e-learning services.

Costs are generally similar for the same kind of e-learning provider and similar types of activity. Some cost-cutting tactics are available, such as making support levels adaptable to demand, offering programs with a reduced service level, or limiting tutorial interaction (queuing at the point of demand or automated client help systems). A provider who cuts prices will move to the west on the Customer Matrix, offering the same PUV as the competition, but at a lower price. As a competitive move this should increase market share. However, some customers perceive price to be a proxy for PUV; reducing price may lead to a move southwest and to falling profits. Even without a link between price and PUV, the effect of a price cut is likely to cause other providers to respond quickly to the move by cutting prices, thereby reducing the average price and profitability of the whole sector. Consequently, a provider can gain an enduring advantage only by continually driving down prices, and can maintain its position only by being the lowest cost producer, sustaining lower prices for a longer period than its competitors, or finding sponsorships or subsidies.

Moving north on the Customer Matrix gives competitive advantage to the enterprise by offering more PUV for the same price as competitors.

*... A provider can gain an enduring advantage only by continually driving down prices, and can maintain its position only by being the lowest cost producer, sustaining lower prices for a longer period than its competitors, or finding sponsorships or subsidies.*

*The existing products or services must be constantly reviewed with the aim of upgrading them and enhancing their level of PUV, so that value enhancement of the e-learning processes becomes a systemic competence of an enterprise.*

#### DIMENSIONS OF PUV

Collecting input from customers on a regular basis helps to understand their needs and satisfaction levels. This information can be used to improve customer loyalty by identifying and eliminating the barriers to customer satisfaction. It can also be used to identify the real dimensions of perceived value and to compare one service provider with another. One approach to data gathering and interpretation on PUV is to analyze

With this move the provider tries to gain advantage through a clearer understanding of customer needs and what is valued in the e-learning service. These factors are translated into a set of PUV dimensions that can be compared with rival service offers, with the intention of continuously enhancing the relative value. As an enterprise moves north ahead of competitor providers, it should attract an increased share of the market. Competitors will try to match the raised PUV, and given time are likely to match the move. This leads to an overall raise in the minimum acceptable standards of the sector over time.

What can an educational service provider do in such circumstances? Two feasible options exist. One is to keep moving north by staying ahead of the competition through continuous improvement and innovation. Another is a move northwest through combining PUV improvement with a reduction in price. Heading northwest can be a winning strategy, as the service is perceived by the client to be both better and cheaper than those of competitors, but it is a position that is not easy to achieve or to sustain. It requires a deep and continuing understanding of the criteria that a client applies to assess each dimension of value. The existing products or services must be constantly reviewed with the aim of upgrading them and enhancing their level of PUV, so that value enhancement of the e-learning processes becomes a systemic competence of an enterprise.

a single segment of demand, such as the provision for small firms, in a structured manner:

- Identify the PUV dimensions that are changing in meaningful ways by asking clients what characteristics of the service they value.
- Weight the PUV dimensions according to their importance.
- Query representative clients to determine a rating for each perceived dimension and then a score.
- Sum the scores for each dimension to achieve a total score. This performance can then be compared and used as the basis of value enhancement.
- Extend the analysis to other cases of demand.

The continuing education department at the University of Chicago (Shannon, *et. al.*, 2003) is a pioneer in devising a value creation index that can be applied to educational service providers. In their view, the key steps are determining the critical intangibles for delivery and formulating suitable metrics for each. In the following example, we have identified "authenticity," "personalization," "flexibility," "support," and "accreditation" as the dimensions that are important to our clients. We then gave a weight to each dimension, ranging from 30 for "authenticity" to 10, "accreditation."

Figure 2 (on page 72) shows the tabulated result of the method applied to a case of three competitors. With three providers, the values of 1, 2, and 3—3 being the highest—are assigned to the ratings within each dimension. So, for example, in comparing your own service relative to the two others, if your service is the leader, give it a score of 3 and assign 2 and 1 to the other services, depending on the clients' assessments.

When the weighting is multiplied by the rating, a score for each dimension is determined. For example, taking the dimension of "authenticity," which has the highest assigned weighting of 30, Service A is rated the best, giving it a rating of 3; multiplying weighting by rating produces a score of 90. For this dimension, service C is second with a rating of 2 and a score of 60; Service B is last with a rating of 1 and a score of 30. The process is then repeated for each of the five dimensions of PUV to determine an overall score for the service.

Dimension of PUV	Weighting	Service A (Own service)		Service B		Service C	
		Rating	Rating x weight	Rating*	Rating x weight	Rating*	Rating x weight
<b>Authenticity</b>	30	3	90	1	30	2	60
<b>Personalization</b>	25	1	25	3	75	2	50
<b>Flexibility</b>	20	2	40	1	20	3	60
<b>Support</b>	15	3	45	2	30	1	15
<b>Accreditation</b>	10	2	20	2	20	1	10
<b>Total</b> (max. is 300)	100		220		175		195
<b>Price</b>		\$870		\$840		\$960	

\*Compared with your service.

*Figure 2: Calculating PUV ratings for competitors' products*

The maximum or ideal total for a provider is 300, meaning that it is the leader in each dimension. In the example, Service A has a score of 220, currently offering the greatest perceived value, although not the lowest price as provider B, who has the lowest PUV score. These scores can then be charted on the PUV versus Perceived Price diagram shown in Figure 1.

There are certain risks involved in this approach. Among them are possible mistakes in the attribution of the weightings to the various dimensions that can lead to the wrong score. Competitors are also continuously working to improve their service offer and so the relevance, importance, weighting, and ratings of the dimensions will change with time. Moreover, the focus on a service cannot predict a "disruptive technology" from making the service of all three providers obsolete.

The advantages are that it strips away all the nonessential features and allows a focus on the fundamentals that drive an improvement in perceived value. It is both desirable and achievable for most providers to undertake an analysis of competitors insofar as the amount of time and resources will not distract from the educational development process. The effort to determine PUV can be made proportionate to the value of the course or contract and can also be extended across a whole portfolio of courses.

### USE OF THE PUV TOOL

Devising a Welsh language e-learning service will illustrate the application of the PUV tool. Initial development work determined that competition from three major sources was imminent: a media production company with links to broadcasters and a network of community colleges (service provider B), as well as two other universities (service providers C and D). In practice, the launch of a service at Lampeter in March 1999 preceded that of the competitors by between six and 12 months. Value analysis was applied at the end of the first cycle of delivery after six months and before a major course revision.

Service provider B appeared initially to be the leading competitor. It brought expertise from television educational program making and had access to advanced technology resources. It chose a diversified delivery approach: broadcast educational programs, a CD-ROM incorporating video, and the possibility of video streaming. Substantial financial investment was made into broadcast-quality recorded programs that targeted a wide range of subjects and levels. Studio-produced content was good, but it offered little opportunity for flexibility or adaptation. Personalization was attempted through assigning an individual tutor from a community college. Support was judged to be poor because most clients used dial-up modem connections from learning centers and homes, technical service breaks occurred, and problems arose with video streaming for individual users. Despite the access to public service broadcast television, service provider B's experience underscored a key lesson for technology-supported learning: the technology must be in widespread use among the target population before it is applied as a platform for the delivery of learning. The lesson for us was to pitch and maintain our technology design by featuring easily accessible, simple asynchronous delivery and to focus support on reducing technical problems for users. The wide range of subjects and levels made it difficult for service provider B to focus on a specific area and claim authenticity. Mass communications also made it difficult to personalize an approach. And because it came from a non-university provider, the content was perceived to have a lower level of accreditation and authenticity.

Service provider C developed a full online degree program, with the Welsh medium elements a subset of a larger course offering. The main attraction was the opportunity to study for a degree without loss of earnings. This provider had attracted substantial government sponsorship

and emphasized recruitment in full degree programs, thereby meeting the requirements of its sponsor and bringing relatively high financial rewards. Personalization and support for this program were strong, but little flexibility existed in accreditation and the source of content was relatively less authentic. We applied the PUV tool to test the demand for a degree program among our client base and found that it strongly preferred short, credit-based work. This influenced us to concentrate on shorter, credit-based specialist courses and to try to achieve economies of scale by attracting large enrollments.

Service provider D, the last market entrant, competed on the basis of the experience of its staff in face-to-face instruction in the field. The launch product was based on text files designed for face-to-face teaching, but downloaded from a website. Support was designed for part-time campus attendance, which reduced the flexibility for learners and offered no personalization. As a late entrant, the client base it attracted was very small and so it had few financial resources for continuously improving the program, leading to continuing low level of support with low investment in recruitment and technical improvements. Internet support can complement conventional part-time study, but it seemed that providing e-learning in a full distance-education mode requires appropriate content design and effective learner support to help reduce the "distance" for the learner.

Greater insights of competitor issues through PUV analysis were possible in the above case through a government contract to evaluate e-learning provision for firms in Wales. This evaluation work, however, occurred after three cycles of delivery, two course revisions, and two tests of the PUV ratings. It revealed that we erred by making overly generous assumptions about our competitors' capabilities based on their promotional material. This, of course, is a relatively better position to take than to underestimate one's competitors.

### **ANALYSIS AND EXECUTION**

Analysis is incomplete unless it leads to execution. The real-life value of the PUV tool is its impact on the curriculum delivery process and its discovery of unique value. The evaluation stage is the rational point to test the methodology and processes, but evaluation commonly only extends to the immediate participants in a class. Results at this level may report high levels of student satisfaction, but extrapolating these results and

concluding without further testing that the course continues to meet the perceived values of a specific market group can lead to mistakes. There is a danger that while continuing to provide courses with high standards of service and good design, "disruptive innovation" can occur that cannot be integrated into current operations in a rapid and straightforward way (Christiansen, 1997). This is the most dramatic situation, but more often it leads to a failure to adapt a course to changing work practices and ends with the course reaching the end of its lifecycle due to low enrollments.

The historical approach to sustaining a commercial advantage is to maintain secrecy about processes. Nowadays, however, a commercial secret is a rare item, and competitors can always reach an equivalent quality or price. Indeed in e-business, it is a common and legitimate practice to create a new service offer that replicates competitors' products by re-aggregating, repackaging, and customizing one's own. The defense for an established provider is to use knowledge so that it can move up to a new level of quality, creativity, efficiency, or perceived value. Discovering client views of perceived value can be done in different ways such as interviews and questionnaires, with a consultancy approach—placing clients in the role of advisor—often giving good results. Once the core dimensions of perceived value are found, however, it becomes highly desirable to identify and construct a proprietary barrier, if possible, around the expertise. This can be through technical affiliation with manufacturers or suppliers, or from being recognized experts in the field, or in constructing a novel application that draws in learners. This step is important in retaining control of the movement of PUV. In the case above, this proprietary barrier comes from the development of an online dictionary and grammar, as explained below.

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### **AUTHENTICITY AND PERSONALIZATION DEMANDS**

The range of relevant competitive dimensions varies from one area of demand to another, but two particularly important dimensions for small firms are "authenticity" and "personalization."

*Issues of authenticity, in knowing who is providing the e-learning and the credibility for the client in the content, arise because of concerns about the quality of the material available over the Internet.*

Authenticity is a fundamental source of value. Issues of authenticity, in knowing who is providing the e-learning and the credibility for the client in the content, arise because of concerns about the quality of the material available over the Internet. An e-learning program operated by a recognized educational body becomes a value proposition because the institution's status and quality processes guarantee that the content is accurate and the information provided is bona fide. These features need to be presented to a prospective client, but for some markets there are more than just conventional quality assurance concerns.

Authenticity for clients can extend beyond accuracy, comprehensiveness, and normal institutional quality assurance methods. The learner needs to have confidence in the program and to perceive relevance in the content. A program on how a company can market over the Internet, for example, may be accurate in describing the necessary steps. It might be comprehensive in coverage by touching on all the current issues and have relevance insofar as it matches content to the knowledge of the group to which it is targeted. The program

may offer formal educational credit. Nevertheless, authenticity can still be lacking if the learner does not believe that the situations, steps, solutions, and cases are realistic and true-to-life. Building a level of credibility in the program involves adopting approaches that anchor the learning program in an authentic context; this means content with cases to which a client can relate. The goals need to be personal and meaningful. The subject content needs to engage the learner with tutor support that is stimulating and timely. The approach needs to lead learners logically to work on their own real-life implementation. As the business environment is dynamic, each of these components must be reviewed and revised to maintain authenticity.

One example of an aid to authenticity in e-learning at our university is an online dictionary. This dictionary is the only fully operational online Welsh-English dictionary, with more than 100,000 lexical items. A modest translation facility and grammatical detail are also included, offering value to learners who have to work in a bilingual environment. The contributors are leading lexicographers, and the dictionary is continuously improved by client feedback. One respondent suggested that the addition of sound files might add value to service and so certain frequently used words have a sound recording to aid recognition and pronunciation ([www.geiriadur.net](http://www.geiriadur.net)). This source is not only authoritative, but adds perceived value to the learning offer; in effect, it tells clients that if they enroll in our courses, we can give them the means to help them with their daily work. The dictionary is available to anyone, including people enrolled in competitors' programs, but we keep proprietary control because we maintain the dictionary database and can introduce a fee for access, if we choose, especially for selected areas such as medical terminology.

For an educational enterprise in general, the pursuit of authenticity means working to keep its fundamental values and intangibles intact, assuring the quality of credits in a distance-learning environment, and providing clear communications to clients about quality issues. Authenticity is, therefore, just as much an educational as a business issue.

Personalization is another key e-learning value source. E-learning can occur through a broadcast format or in a way that provides interactivity with a client (Roffe, 2002). The significance lies in the greater opportunities for personalizing the interaction between the provider and client by individualized pathways, with the prospect of creating attractive individual value propositions. There is the potential for easier and personalized access to experts and in flexible and personalized contact. E-learning techniques can create individual tracks through a learning program that features an

*E-learning techniques can create individual tracks through a learning program that features an individual track and assessment, personal web pages for dialogue with a tutor or in small groups for tutorials.*

individual track and assessment, personal web pages for dialogue with a tutor or in small groups for tutorials.

Personalization can be achieved through diagnosing the needs of an individual or analyzing the learner's objectives, existing skill sets, interests, career objectives, job profiles, attainment, and style. Individual tracking with repetition of certain topic areas and assessment can aid personalization, as can an invitation to join specific groups for aspects of collaborative learning. All of this can establish an individual profile for a particular learner to address specific learning needs. Personalized design means that the content can be tailored to specific areas of interest and can be executed by human or technology mediation, or a combination of both to enhance value.

### **COMPETENCES TO ENHANCE VALUE**

An educational service provider building authenticity, personalization, and other perceived dimensions of value for clients will eventually be confronted by other providers trying to serve the same market. Movements on the Customer Matrix to improve the competitive position of a provider can only be achieved by addressing the key internal value creating competences. Changing all the system variables of an educational enterprise, however, may not be an option for an e-learning group. They can only address certain parameters within their control.

An educational enterprise can divide its competences into two categories: operational and system competences. In the former are specific technical competences that are relevant to operating in a particular market. This can comprise the creation of content, such as for a course on Internet marketing for small firms. It can also exist in the kind of learner support offered to specific participants, for example by forms of technical mentoring of learners.

System competences span the range of activities undertaken by a continuing education provider and can be a major source of competitive advantage. These generic system competences include value assurance, value enhancement, and innovation. These three generic system competences are important parameters for improving the efficiency, effectiveness, and the perceived value of e-learning delivery to small firms.

Value assurance is the process that retains value in the course offer. It is directly related to maintaining authenticity for the client in the content. For an educational service provider it is an important point of differentiation from the many other internet-based providers from non-recognized

educational bodies. Value enhancement covers the processes in which an educational service is constantly reviewed with the aim of upgrading and improvement. Both these processes are well established for different learning delivery modes by colleges and universities.

Innovation as a system competence is different. Even though the management processes of innovation are well understood however, much effort is still underway across the world to discover new teaching, learning, and support processes for e-delivery. In Europe, for instance, there is a major effort underway by education providers, often aided financially by the European Commission, on investigative work that examines teaching and learning processes by digital delivery to all types of continuing education audiences in order to optimize learning transfer with technology. This is well-intentioned and necessary work, but we know that concepts of how people learn have concerned educators for centuries and will continue to generate controversy because of the complexities. Similarly, when the same technology is available to everyone, it cannot provide a long-term advantage to anyone. This means that innovation as a competence to enhance value ought to be based on a systemic approach to develop and implement approaches that offer a large degree of proprietary control and use technology that is in widespread use by the client group.

## CONCLUSION

There is no one “magic” or universal management tool that can be applied to all situations; each has its own strengths and limitations and must be used in a particular situation in the right way at the correct time. We have found that the PUV diagnostic tool, when used at the evaluation stage in combination with client consultation, has been of great value in our effort to improve continuously and to find proprietary solutions. It has yielded findings that we have integrated into our development and innovation

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processes and has made us better able to respond quickly to changes in a competitive e-learning environment. By giving us the means to analyze the dimensions of perceived value, the PUV tool keeps us attuned to the needs of our clients in small firms, particularly as regards the differences between the notions of cost and value.

Over the last decade, as we have refined and applied the method to our programs, our small continuing education group at the University of Wales, Lampeter, has enjoyed considerable success in the form of external recognition for our teaching and learning across a range of subjects, including the Queen's Award for personal development by open learning, the British Gas Prize for widening access courses in continuing education, the Nestlé Award for European languages, and an IBM commendation for the application of IT in continuing education. While we are grateful for the validation, we realize that we must continue to provide value to our clients by producing services of high quality that they demand. The tools, processes, and systems described are no substitute for practicing sound management, hiring good people, and using resources wisely, but they have enhanced considerably our ability to compete. 

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# *Graduate Programs as Professional Learning Communities: A Case Study of The Johns Hopkins Master of Arts in Teaching Program*

*Amy Marie Yerkes, Elaine M. Stotko,  
and J. Thomas Husted*

THE JOHNS HOPKINS UNIVERSITY

**I**N 1999, THE JOHNS HOPKINS UNIVERSITY BEGAN AN evolution of its standing graduate program leading to teacher certification—the Master of Arts in Teaching (MAT) degree—with the aim of helping to meet a critical teacher shortage in the state of Maryland. In urban schools, the teacher shortage was most acute. City school administrators were challenged both in the recruitment of new qualified teachers and in the retention of existing teachers. The State was not alone in facing this problem: nationwide, nearly 50 percent of new teachers in urban schools leave the profession within five years. Low retention rates are most

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*... Faculty in The Johns Hopkins Graduate Division of Education developed a new model for teacher preparation programs, a model that forges a dynamic professional learning community among teacher candidates . . .*

often attributed to teachers feeling isolated and unsupported in their work, unprepared in content area and teaching methodology, and overwhelmed in their attempt to meet the needs of all school stakeholders, from students

to parents to administrators. Addressing the shortage meant not only preparing greater numbers of teachers but also better teachers: those with the knowledge, skills, and dispositions to succeed in the classroom and thereby ensure good learning outcomes for all children.

Faced with these challenges, faculty in The Johns Hopkins Graduate Division of Education developed a new model for teacher preparation programs, a model that forges a dynamic professional learning community among teacher candidates (the term for graduate students enrolled in teacher preparation programs), a community designed to support them as they pursue their graduate degree and traverse their early years as new teachers. The model was developed on the foundation of the existing MAT program, a 39-credit graduate degree leading to state teacher certification. The curriculum of this graduate program, which has long been aligned with national standards developed by the Interstate New Teacher Assessment and Support Consortium (INTASC), emphasizes both the theory and practice of teaching. Courses are taught by both full-time faculty who are leading academics in their fields and by expert practitioners from the region's school sys-

tems. The majority of teacher candidates in the standing MAT program enroll in part-time evening study, pursuing their graduate degree as the first step in a mid-career change to teaching; teacher candidates take, on average, four years to complete their graduate degree and begin teaching. Teacher candidates enter the MAT program having already earned bachelor's degrees in appropriate content areas (for example, biology, English, mathematics).

The new model retains the existing curriculum but alters the program format to attract greater numbers of qualified teacher candidates, acceler-

ate program completion, deepen program ties to regional school systems, and achieve new outcome measures, among them longer-term retention of new teachers. Supporting the development of this new model is a Title II Higher Education Association grant known as “Project SITE-SUPPORT” regionally awarded to The Johns Hopkins University, the Baltimore City Public School System, Morgan State University, and the University of Maryland Baltimore County.

The new format adopted at Johns Hopkins has come to be known as “ProMAT,” short for Professional Immersion Master of Arts in Teaching. This format is characterized by new recruitment and retention strategies; a cohort structure; teacher candidate immersion in regional high-need schools; multi-tiered, “blended” faculty and mentor support; multi-tiered, partnership-based program leadership structure; and the integration of new, online electronic tools and resources.

What follows is a description of how these features and characteristics have established the graduate program as a professional learning community and the outcomes—among them program growth and higher new teacher retention rates—that have been realized in the first years of ProMAT implementation in Baltimore City under the auspices of the federally funded Project SITE-SUPPORT.

#### **PARTNERSHIP WITH REGIONAL K-12 SCHOOLS IN THE RECRUITMENT AND RETENTION OF NEW TEACHERS**

As regional recipients of the Title II Higher Education Association grant, The Johns Hopkins University and the Baltimore City Public School System partnered to create a new alignment of teacher preparation programs with the recruitment and retention of new teachers for city schools. Baltimore City Schools hire teacher candidates enrolled in The Johns Hopkins ProMAT program to

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be teachers of record in their own classrooms while they are pursuing their graduate degree.

The federal grant combined with professional development dollars from the school system covers tuition costs for candidates in the ProMAT program while they are teaching and drawing a full-time new teacher salary from the city. To receive the full tuition support, ProMAT teacher candidates must agree to serve Baltimore City Public Schools for a total of five years: two while in the ProMAT program and three postgraduate. Regardless of their years of service, for every year of teaching, program participants receive a full-time teaching salary and benefits. Should these teachers resign from the city schools prior to the close of their five-year commitment, they must pay back a pro-rated amount of their tuition benefit. Such financial support now makes it possible for those interested in moving into the teaching profession to do so immediately, rather than waiting the typical

two to four years it takes to earn a degree that leads to teacher certification and employability. These new financial opportunities made it possible for Baltimore City Schools and The Johns Hopkins University to partner in the recruitment of new teachers and new graduate students. Marketing plans and materials were developed collaboratively; open houses and job fairs were conducted jointly.

The partnership with Baltimore City Public Schools in the implementation of the ProMAT program extends beyond the provision of salary and tuition-remission benefits. Since teacher candidates are “immersed” in their own classrooms from program day one, much of their graduate school experience focuses on the learning they need to succeed in their classroom—and, thereby, to meet the city school system’s goals of achieving the highest possible learning outcomes for all students. This alignment of just-in-time “practical” learning with graduate school “theoretical” learning outcomes draws upon the long-standing strength of The Johns Hopkins MAT program: the blend of theory and practice. The Johns Hopkins University is also able to work with Baltimore City Schools to help place ProMAT teacher candidates in schools wherein they are best positioned to receive the support they need for success in their early years as teachers.

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Baltimore City Schools personnel also participate in support and advisory capacities for the ProMAT program. Whether serving as members of the project advisory board or leadership team, as mentors to new teachers, as “practitioner” graduate faculty ensuring alignment between degree coursework and classroom responsibilities of teachers, or as staff facilitating the hiring and retention of new teachers, city school teachers and leaders are able to help shape the program at every level of implementation.

Hiring teacher candidates enrolled in a graduate teacher preparation program like ProMAT means that the new teachers are supported by a network of seasoned educational professionals and deeply aligned with school system curricular goals. Therefore, the city, through participation in this program, has helped to create an important new source of highly qualified new teachers.

#### FORMAT AND CURRICULAR INNOVATIONS

The ProMAT is structured as a cohort program. New teacher candidates begin and end their program as a group, starting the summer before their first teaching assignment begins and concluding less than two years later with a May graduation. This structure encourages program completion, as teacher candidates benefit from sharing experiences and coursework with a group of like-positioned peers whom they come to know and rely upon for professional and personal support. Classes are typically scheduled on one weekday evening and on one Saturday each month. Convening classes weekly sustains the peer network and keeps the program tied to the immediate needs and concerns of the teacher candidates. The schedule also helps graduate faculty to remain attuned to the peaks and valleys that new teachers experience and to provide the immediate support—from coaching on lesson plans to providing strategies for classroom management—that often makes the difference between a new teacher staying in or leaving the classroom.

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*... Teacher candidates work with graduate education faculty, arts and sciences faculty, and Baltimore City teachers to prioritize content learning goals for their first program year and for subsequent professional development.*

in the Baltimore City Public Schools, the State of Maryland Core Learning Goals, and guidelines from such organizations as the National Council of Teachers of English. With the self-assessment completed, teacher candidates work with graduate education faculty, arts and sciences faculty, and Baltimore City teachers to prioritize content learning goals for their first program year and for subsequent professional development.

Graduate courses are sequenced to address the evolving needs of new teachers: initial coursework in curriculum, instruction, and assessment provides the ground for practical applications of teaching methodology and ongoing content learning in the teacher candidate's chosen field and level of certification. Each course provides opportunities for teacher candidates to apply their new learning of the theory or content to their specific teaching assignment in a Baltimore City school.

A new curricular emphasis in the ProMAT format sustains the ongoing discipline-based learning of teacher candidates in their chosen field. Even having earned a bachelor's degree in an appropriate content area for certification does not ensure that new teachers have the content knowledge they need to succeed in their first teaching assignment. An existing course in the standing MAT program—"Special Topics in Education"—was therefore revised both to meet those immediate content learning needs of new teacher candidates and to orient them to career-long learning in their chosen discipline. The course is team-taught by graduate education faculty, seasoned public school educators, and—importantly—faculty and doctoral students from The Johns Hopkins University School of Arts and Sciences.

To prepare for this course, teacher candidates complete a "Content Self Assessment" in their area of intended certification. The self-assessment tool asks each teacher candidate to reflect on his or her level of readiness—measured on a 0-to-4 scale—to teach required content as defined by local, state, and national disciplinary standards. The content standards are established by the K-12 curriculum

The “Special Topics” course is tailored for each cohort group to meet those prioritized goals. Course content is established to meet both collective and individual content learning goals. For example, if the incoming cohort group of English teachers identifies a need to learn early American literature or English grammar and the need is correlated with what the cohort teachers must teach in their first two years, the course will provide collective learning opportunities (shared readings, seminars, etc.) to meet those needs. Individual needs—those that do not correlate across the cohort group but are yet high individual priorities—are met through individual research and lesson planning projects that are overseen by the course faculty, presented to the cohort group, and archived in the electronic learning community (see next section). Each teacher candidate in the program, thereby, benefits from the learning of other members in the cohort group.

Through adjustments to the standing curriculum of the MAT degree—specifically in the area of discipline-based content courses—and refinement of the course sequence and delivery format, the ProMAT program can better meet the needs of new Baltimore City School teachers. By extension, the program helps these new teachers to enable their K-12 students to achieve the learning goals set for them by local and state standards.

#### **NEW SUPPORT STRUCTURES**

Among the new support structures developed for the ProMAT program are web-based tools that facilitate communication among teacher candidates, their graduate faculty and other mentors, and their peers—communication that is critical to sustain the professional community so vital to new teachers. These tools also help teacher candidates to monitor and maintain their own progress toward program learning goals. The electronic learning community (ELC), developed for the ProMAT program by the university’s Center for Tech-

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nology in Education (CTE), provides secure web space wherein teacher candidates can post successful lesson plans, engage in online discussion, access teaching resources, and receive guidance from faculty and other content experts when and how they need it. The Center for Technology in Education is now adapting and licensing the ELC to meet the needs of other learning communities across the country (for more information on the ELC, consult the CTE website at <http://cte.jhu.edu/>).

*Through this web-based tool, the development of the program portfolio has become an organic and collaborative reflection of the MAT candidates' evolution as teachers rather than an academic exercise to fulfill a final program requirement.*

the MAT candidates' evolution as teachers rather than an academic exercise to fulfill a final program requirement.

A human component of the new ProMAT format is the peer mentoring program. The program was designed to achieve several goals: to support the retention of new teachers by providing on-site assistance of qualified peer mentors; to build the capacity of the Baltimore City Public Schools' teach-

ing staff by developing the leadership skills of peer mentors; and to foster a mentoring community of urban school educators committed to continuous learning about their profession. Peer mentors support 100 percent of all new teachers in the ProMAT program. The majority of peer mentors have more than 11 years of service in city schools, with some drawn from the senior-most ranks of the system's teachers. Interest in serving as peer mentors has grown among experienced Baltimore City School teachers: between years two and four of ProMAT implementation, the program has increased from 75 to 215 mentors, all of whom participate in a summer mentoring academy and receive additional orientation to the specific goals and objectives of the ProMAT program. Mentoring guidelines are both program- and school-based, with principals playing an active role in the selection of mentors and in the development of mentoring guidelines and objectives. The mentoring program builds networks of support beyond the new teachers' academic program to the schools wherein they begin and build their professional careers. New mentors are increasingly drawn from the ranks of ProMAT graduates; through the program they gain an appreciation of the need for teachers to be leaders in school reform and improvement.

A final new component of the ProMAT format is ongoing program assessment through focus groups and surveys of teacher candidates. Data collected through these processes inform program leaders about teacher candidates' perceptions of their own confidence and competence as teachers, as well as the types of support that are most (and least) helpful as they meet the many challenges of their early careers. In this setting, focus groups become both a professional development tool for new teachers as they reflect on and learn from their experiences and a model for how data can inform collective decision-making (in this case to improve program outcomes). Through this model, teacher candidates become participants in the ongoing refinement and improvement of their own graduate program and, by extension, of the schools where they teach.

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**PROGRAM OUTCOMES: YEARS 1-4**

*When compared to the national average—according to which 50 percent of new teachers leave the profession within five years—an 85 percent retention rate suggests that the program is making a difference.*

Enrollment in The Johns Hopkins MAT program has grown by 70 percent—to more than 800 students—through the implementation of the Pro-MAT format. Johns Hopkins ProMAT teachers are contributing to the overall successes of the SITE-SUPPORT project in Baltimore. One hundred and twenty schools are now served by teachers in the project, 82 percent of whom are serving in highest needs schools. Among these teacher candidates, three-fifths are from underrepresented minorities and more than a quarter are male. This teacher diversity better aligns with the student population in Baltimore City schools than had the teacher pool recruited by traditional means. Nearly 30 percent of new teachers in Baltimore City are now recruited through this SITE-SUPPORT partnership effort.

Just as the format improves recruitment efforts, it is having an impact on retention rates of new teachers. Among the teacher candidates who have enrolled through the SITE-SUPPORT project, 85 percent are still teaching in program year four—that is, two years after graduating. When compared to the national average—according to which 50 percent of new teachers leave the profession within five years—an 85 percent retention rate suggests that the project is making a difference.

While mid-level career changers—among them lawyers, doctors, business professionals—have long been attracted to The Johns Hopkins MAT program, the ProMAT format is proving attractive to new groups of highly qualified teachers, among them Teach for America (TFA) candidates in Baltimore City schools. TFA teacher candidates are drawn from among the best and brightest graduates from the nation's undergraduate programs. Because The Johns Hopkins ProMAT provides thoroughgoing support to new teachers in the city, nearly 67 percent of TFA candidates in Baltimore City now sign up to be part of the cohort ProMAT program.

Even as it proves attractive to new groups of prospective teacher candidates, the ProMAT format is also proving adaptable to other school systems in Maryland. Montgomery County Schools and Baltimore County Schools

now have cohort groups of ProMAT teacher candidates, cohorts adapted to meet the specific needs of those school systems. Whatever the school system with which cohorts are formed, however, the ProMAT retains its core features: the schools where teacher candidates serve are actively involved in the program's development and implementation; the candidates receive a salary and tuition remission benefits while enrolled in the program; and community-building systems and structures—from web-based tools to mentors—keep teacher candidates connected to the support they need for success in the early years of their career. This approach has created a professional learning community of teachers committed to their own development as well as the improvement of the schools where they teach.

#### **FUTURE CHALLENGES**

The graduate ProMAT program has emerged as a professional learning community with measurable impact on the K-12 school systems with which it has been developed. Even with this early success, however, the program must remain flexible enough to adapt to the ever-changing landscape of K-12 education. By retaining the quality of a time-tested curriculum that blends the theory and practice of teaching with the innovation of a format designed to immerse new teachers in a professional learning community that will sustain them in their early years as teachers, the ProMAT program is poised to continue to help meet the need for both more *and* more well prepared teachers for our region's most challenged schools. We hope that this quality alternative to traditional teacher preparation programs will also serve as a model that can be adopted in other states facing equally pressing needs for highly qualified teachers. ☰

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# *An International Comparison of Adult Learning Participation and Policies*

*Beatriz Pont*

## INTRODUCTION

THE WORLD OF ADULT LEARNING IS EXPERIENCING changes across Organization for Economic Cooperation and Development (OECD) countries at the governmental and individual level. OECD governments are exploring ways to increase access to different types of adult learning needs through public provision, supporting the development of the private sector, or by joint public-private collaboration. At the same time, adults are demanding more and varied learning activities. This article explores participation trends in selected OECD countries and analyzes different policy responses taken by governments to improve access and participation.

There are many factors underlying the push for increased adult learning: high unemployment rates in Europe; a growing recognition of the importance of human capital for economic growth and social and personal development; the public recognition of the existence of large proportions of adults without basic skills; aging of populations; increased migration. Overall, participation in adult learning varies across countries but presents similar patterns. Adults with higher education levels, people who are employed, those working in larger enterprises, in white collar

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occupations, and younger adults have higher participation rates. The key catalyst for provision of training is the private enterprise, and many adults seek training mainly for reasons of professional upgrading.

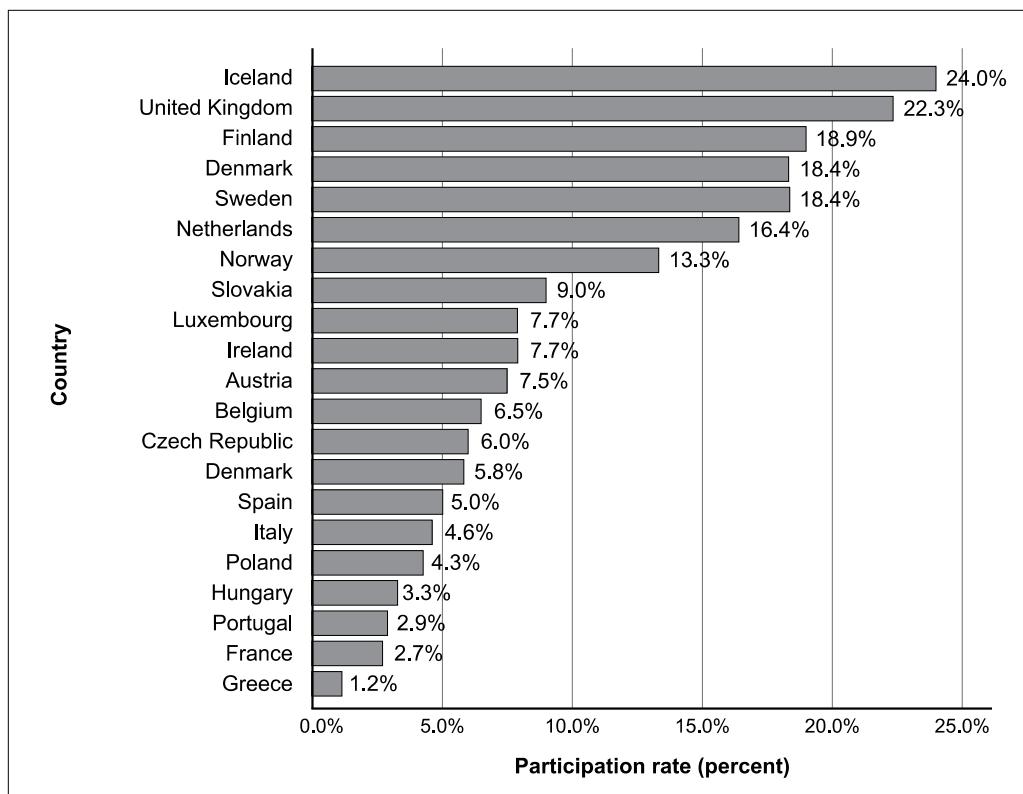
With clear inequities in participation patterns in most countries—especially among adults who need it the most, the low-skilled—it is essential that public policy address the issue of increased access and participation. There are different measures that countries have adopted to stimulate learning for adults. Overall, what is important is the movement toward a coherent approach to adult learning, toward the development of coherent and integrated adult learning systems that can cater to greater demand and offer higher quality.

#### PARTICIPATION IN ADULT LEARNING

Participation is difficult to measure for many different reasons. First, adult learning may mean different things in different countries: it may include vocational training or limit itself to adult basic education; it may include informal and nonformal learning or include different age groups. Furthermore, it is difficult to find homogeneous data on participation during similar time periods for different countries. For example, the European Labor Force Survey, which includes data for European Union member countries, contains a question concerning training activities undertaken in the past four weeks prior to the survey. Other surveys such as the International Adult Literacy Survey (IALS)<sup>1</sup>, which took place between 1994 and 1998, included a question on participation in the year prior to the survey. Rather than compare total participation rates by countries, it is better to observe trends and tendencies, the basis of which will be the European Labor Force Survey, a comprehensive survey of 15 European Union (EU) countries and candidate countries to enter the EU.

In Europe, there is a clear break in total participation between Nordic countries and the United Kingdom with rates between ten and 25 percent

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**Figure 1: Participation in learning for adults 25 through 64 years old, 2002**  
 (percent of 25–64 year olds in learning in the four weeks prior to the survey, 2002)  
 Source: EUROSTAT, *European Labor Force Survey*, 2002.

of adults 25–64 years old participating in a learning activity in the month prior to the 2002 survey and the rest of Europe (between one and 10 percent). Nordic countries have quite active adult learning policies and have supported public adult learning provision for a long period of time. In other countries the situation varies.

Overall, we cannot say what the causes of higher participation rates are across countries. There may be many different reasons for these differences that require an in-depth analysis of the impact of different variables such as adult educational attainment, rates of economic growth, the structure of education systems, the economic structure of the countries, public support for adult learning, the returns and benefits to learning, etc. Even such factors as the weather or working schedules can have a strong impact on the proportion of learning activities.

What is clearer are the similar participation patterns across countries: the distribution of learning for adults always reaches similar groups within countries. There are clear inequities in the distribution of learning opportunities: it is always the case that groups that are farther away from learning opportunities do not benefit from them as much. The key question is to what extent public policy should stimulate adult learning so as to reduce these inequalities and help those who need it the most.

For example, younger adults receive more education and training in all countries analyzed. People between the ages of 25–34 have the highest participation rates in all countries. Between the ages of 35–50, participation decreases. It then drops to very low proportions. It seems that the rates of return or the benefits attainable by people become smaller as they age: the time they have to benefit from more learning is shorter, and perhaps they can also compensate with experience without the need for training. This issue has been widely discussed, and there are different views on the subject (OECD, 2001). In a study of 13 European countries on how much initial education and training are complementary, Brunello (2001) showed that training pays off only if it takes place in the early years of work. His study, however, also showed a strong link between age and educational attainment, as it measured the benefits from training for those with higher education according to different age groups. But there are other modalities for learning, and it may not be an issue of benefits from training but rather of developing the stimuli for people to learn. As populations age and employment becomes less stable, there are pressures to use education and training to help older adults remain active in the labor market. There is also a need for training to develop information and communication technology skills for older adults. Finally, there are increasing learning opportunities for older adults, learning centers for the “third age,” which are spreading to provide leisure learning for those who have retired.

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*Those with at least tertiary education have higher participation rates in almost all countries, and adults with the lowest educational levels have the lowest participation rates.*

There are even wider differences according to educational attainment. Those with at least tertiary education have higher participation rates in almost all countries, and adults with the lowest educational levels have the lowest participation rates. This shows the complementary relationship between education and adult learning. People who have higher educational attainment are aware of its benefits, may have more information, seek more learning opportunities, and also receive more benefits from it in terms of wages or other compensation. They may also have more income to cover training costs. At the same time, there may be a selection bias: enterprises tend to train those from whom they think will get the highest benefits. Brunello's study showed that highly educated people with long professional experience receive a lower return from a training activity than less qualified workers with the same professional experience. For less educated workers, the returns from training do not appear to vary by professional experience.

Women participate in training in slightly higher proportions than men, with rates for the latter ranging between 40 and 50 percent of the total in most Nordic countries, Spain, France, Hungary, Ireland and the United Kingdom, Italy, and Portugal. Differences widen when combined with other factors, such as educational attainment or working situation. In most of these countries, especially those with lower general educational attainment of adult populations, it could be that women with low education levels are trying to improve their basic education levels more than men. And there are greater differences by gender when comparing their situation to the labor market: more working men train, while higher proportions of women who are unemployed or out of the labor force take advantage of learning opportunities.

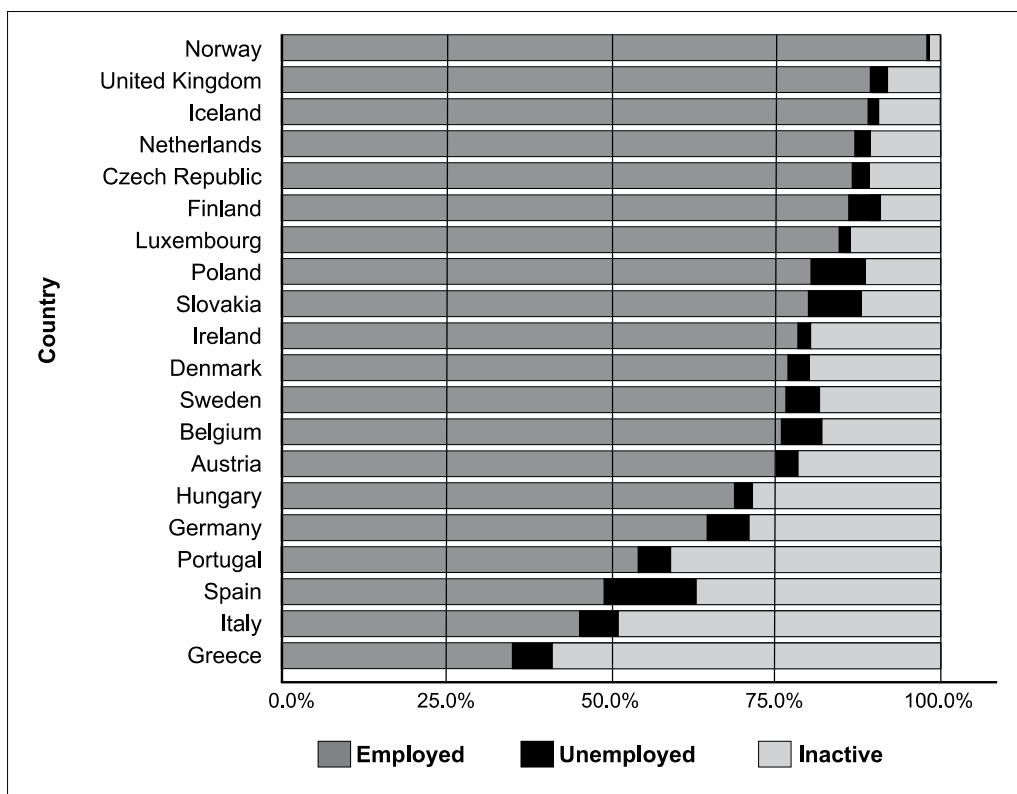
The majority of adults who pursue training are working except for Southern European countries (Greece, Italy, Spain, and Portugal), which have higher proportions of people who are out of the labor force, perhaps owing to longer times for younger adults to finish university, and also to

higher proportions of adults, especially older women who do not work and are taking basic education courses. In these countries overall adult learning rates are quite low. There is a positive correlation between total participation rates in countries and participation in training by workers, demonstrating that the entry point for most adult learning is the world of work. Indeed, it is firms that are the key providers of learning opportunities, in many cases privately funded. In many countries, however, there are different types of public incentives to promote learning in enterprises. Furthermore, larger firms are more apt to provide training, since small firms have more difficulty replacing workers during their working hours, tend to not have human resource departments that plan training, etc. Overall, firms select those whom they want to train, and for that reason, workers with higher educational levels and younger workers have more opportunities.

The unemployed have also been beneficiaries of training activities throughout Europe, and also have higher proportions of training in a number of countries such as Spain, Denmark, Belgium, Finland, or Germany, countries where public labor market policies have used training as a tool to help them get back into the labor force. European Union policies have also been very active in this respect.

As can be seen in Figure 2 on page 98, adult learning is a reality in many OECD countries. Learning is supplied by firms, the public sector, private institutions, or nonprofit or nongovernmental organizations. There is also demand for different types of learning: basic education, learning of a more vocational nature, learning for personal or general interest, for languages, for developing IT skills, for firm-specific skills, etc. However, there are problems and challenges: learning does not normally reach those most in need, and there are different kinds of needs developing. Supply is quite fragmented and does not function in a coherent manner. There are many different players in adult learning, and information does not reach those in need of learning in a transparent manner.

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*Figure 2. Participation in learning by labor force status for adults 25 through 64 years old, 2002 (percent distribution)*

Source: EUROSTAT, *European Labor Force Survey*, 2002.

### DIFFERENT PUBLIC POLICY OPTIONS

Although governments take different policy approaches to improve access and participation in adult learning, most countries that have participated in the OECD Thematic Review on Adult Learning<sup>2</sup> believe in the need for some degree of public intervention. At an individual level, countries call for education for personal, professional, and social development. At a macro level, key reasons to develop strategies in adult learning are equity and social cohesion, the inequity of market outcomes, the development of democratic values, and improvement of skills to participate in the economy and the labor market. The development of knowledge-based societies has also been extremely relevant in the call for improving adult learning strategies. Overall, countries agree on economic and non-economic goals: the need to target low educational attainment and to intervene in this market

for social cohesion and economic development, for unemployment, and for personal and social development.

There is diversity among the measures that countries have adopted at a national level to stimulate learning for adults. Some countries have defined general action plans to target adult learning in a comprehensive manner. Such is the case of Finland's Joy of Learning (1997), which is a comprehensive reform of adult education, and Norway's Competence Reform (1999), a long-term strategy to expand learning opportunities. Some countries have focused on improving the educational levels of low-skilled adults. In Sweden, the Adult Education Initiative, a short-term policy that focused on providing free, upper secondary schooling to all those who needed it, was recently mainstreamed into its regular education policies. The United Kingdom, with its Learning and Skills Act (2000), emphasized raising the skills levels of adults. Other countries have concentrated on rationalizing and improving the interactions of different players in this market: for example in Denmark, the Adult Education Reform (2000) looked to bring together different training provisions. The new law on vocational training in Spain (2002) aims to develop a national qualifications system that integrates different vocational training supplies under one system.

The diverse approaches can be grouped under specific categories:

- **Financial incentives to increase demand:** Some countries have introduced individual incentive mechanisms to encourage adults to undertake learning opportunities. They include grants, loans, or other individual financial incentives such as individual learning accounts (ILAs) or income support for studies or study allowances. The United Kingdom, for example, offers a broad range of financial support to get students to undertake learning throughout the country. Finland, Norway, and Sweden have income support allowances to complement free provision.
- **Nonfinancial incentives:** These may be complementary to financial incentives. For example, the rights to education or training leave from work in Finland, Norway, and Portugal are an important incentive for workers to undertake learning, although it is not widely used. One important incentive is the assessment or recognition of informal or prior learning as a way to bring adults back into learning. Portugal has created a national system of centers that recognize, validate, and certify skills.

- **Focus on supply:** Countries have worked toward developing the public adult learning system so as to increase supply at different levels, rationalize and give coherence to the diversity of offerings, and coordinate the different actors involved. In most of these cases, it has implied free or near-free provision of formal adult education or other educational opportunities, such as reforms introduced in Denmark, Finland, Norway, and Sweden, and efforts undertaken by Spain and Portugal. Most of these countries have focused on increasing access and improving public provision.
- **Stimulating the development of a private market:** Some countries have attempted to stimulate the adult learning market by targeting both supply and demand. Examples of this may be the funding of infrastructure for educational suppliers or giving incentives or subsidies to private firms. Relevant and useful measures include providing information, orientation, and guidance concerning learning opportunities (such as “learn festival” in Switzerland or *Opintoluotsi* in Finland). The introduction of a quality assurance scheme (EduQua in Switzerland, Investors in People in the United Kingdom) has also contributed to allowing the private sector to take an active role. Other developed mechanisms have been tax exemptions and subsidies for employer-financed education or tax levies for learning and training.

### TOWARD A COHERENT APPROACH IN ADULT LEARNING POLICIES

Overall, what is important and reflective of the general trend in public adult learning policies in countries analyzed is the move toward a coherent approach to adult learning. Countries must develop coherent and integrated adult learning systems that can cater to increased and higher quality demand. Although different forms and patterns of institutional arrangements exist in adult learning across OECD countries, there is a general trend toward a more holistic approach to adult learning from a lifelong learning perspective, as can be seen from most of the recent reforms.

There is a growing effort to give coherence to the many scattered and diverse programs and courses for adults. The concept of education is broadening to include formal, nonformal, and informal learning as well as a broad range of educational strategies. This approach offers a more systemic view of learning and includes the diversity of demand

for and supply of learning opportunities as part of a whole system. It places the learner at the center and includes all the different types of learning that adults undertake. It also covers the multiplicity of objectives that adults may have in learning, whether for professional, personal, or social reasons.

Overall, adult learning policies should be adult-centered, which implies that learning opportunities are designed for adults in the appropriate schedules to adapt to adult lifestyles, pedagogical methodologies, and physical spaces, that they are flexible, easy to access, understandable, and transparent. It is important for there to be incentives for adults to participate, information on provision, assurances of quality, and coordination among the different partners involved.

The approach also represents an increased effort to rationalize adult education and give it a national coherence within education and labor market policy agendas. If all of this seems more of a dream than a reality at present, countries are nonetheless moving in this direction in a deliberate manner. 

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## FOOTNOTES

<sup>1</sup> OECD and Statistics Canada (2000), *Literacy in the information age*, Paris and Ottawa.

<sup>2</sup> For more information on this activity, visit the OECD adult learning website: <http://www.oecd.org/edu/adultlearning>. Nine countries participated in the first round: Canada, Denmark, Finland, Norway, Portugal, Spain, Sweden, Switzerland, and the United Kingdom. It concluded with the publication of individual country studies (Background Reports and Country Notes) and a comparative report, OECD 2003. Nine countries are currently participating in a second round (Austria, Germany, Hungary, Korea, Mexico, the Netherlands, Poland, the United States, and the United Kingdom). This section uses the analysis done for the thematic review as its main input.

# *Reflections on Mexican Continuing Education*

*Martin Ireta*

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**F**ROM THE TIME OF THE AZTECS, MEXICO HAS VALUED the transmission of knowledge as a communal property for the preservation of the culture. In Náhuatl, the language of the Aztecs, *tlacahuapahualiztli*—the art of raising and educating men—was an accomplishment of their society, and they developed techniques and institutions to transmit the wisdom of the elders to succeeding generations, creating separate pedagogical levels for students, instructors, and directors, as well as different schools for training soldiers or scientists (Díaz Infante, 92).

The arrival of the Spaniards to Mexico brought European systems of education that modified the practices of indigenous education. Now, in the twenty-first century, the educational systems that have endured are being challenged by the pressures of the market.

At the time of the 2002 census, the population of Mexico was 97.5 million of whom 33.7 million were economically active. Three regions are the key to the national economy: the central zone, whose pillar is Mexico City, has seven states that contain 33.8 percent of the total population of the country; the west, represented by the city of Guadalajara, consists of four states with 12.0 percent of the population; the northeast, anchored by the city of Monterrey, has three states that make up 9.1 percent of the population (American Chamber Mexico, 2003). These three regions and their 14 states (out of 32) account for 68.2 percent of the official employment (INEGI, 2000).

The economically active population is concentrated mainly in three age groups: 20–29 (30.9 percent), 30–39 (25.4 percent), and 40–49 (18.3 percent). The fact that nearly three-quarters of all workers and employees are between

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the ages of 20 and 49 represents a tremendous opportunity to prepare those groups with continuing education programs.

### HIGHER EDUCATION IN MEXICO

Higher education in Mexico has a disadvantaged position because only 1.7 percent of the population—1,703,507 students—is enrolled in a bachelor's or graduate degree program in a Mexican university or institute (ANUIES, 2000). The circumstances of higher education are reflected by the contrast between the 4,196 institutions of higher education and their 219,804 faculty, and the 1,503,980 teachers in Mexico's 221,719 K-12 schools (Presidential Report, 2002). Of the population qualified to study for a bachelor's degree, 19.0 percent of candidates between the ages of 20 and 24 actually enroll, and 5.7 percent of the 25-29 cohort continue to pursue a graduate degree (INEGI, 2000).

According to the National Association of Universities and Institutions of Higher Education, the country has 1,585,408 students studying for a bachelor's degree. The central zone's seven states have 623,576 students (39.3 percent); the four states of the west, 169,041 (10.7 percent); the northeast, 201,179 (12.7 percent) (ANUIES, 2000).

In the year 2000, the greatest number of undergraduate students studied social sciences and administration (49.8 percent), followed by engineering and technology (32.4 percent) and health sciences (9.0 percent). These three areas represented 91.2 percent of the bachelor's degree candidates (ANUIES, 2000).

Of the one-and-a-half million undergraduates in 2000, 26 percent received a degree. Six fields accounted for 40 percent of the diplomas awarded: law (10.2 percent), administration (8.2 percent), industrial engineering (6.4 percent), public accountancy (5.7 percent), systems engineering (4.6 percent), and computer science (4.3 percent) (ANUIES, 2000).

Among the 1.7 million students of higher education, the 118,099 graduate students were 6.9 percent of the total. Four areas made up 92.9 percent

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The administrative models of Mexican continuing education institutions are comparable to those of any university of the United States. The four main elements are:

of all graduate enrollments: social sciences (46.2 percent), education and humanities (16.8 percent), health sciences (16.2 percent), and engineering and technology (13.7 percent) (ANUIES, 2000). The disciplines with the largest numbers of alumni and alumnae were administration (23.1 percent), education (13.0 percent,) medicine (7.6 percent), finance (6.5 percent), and law (6.2 percent) (ANUIES, 2000). Regionally, the central, west, and northeast had more than three-quarters of graduate enrollments, with more than half of all graduate enrollments—53.5 percent—occurring in the central zone.

Only 0.12 percent of the entire population currently attends postdegree programs in order to update knowledge or to improve the quality of professional life. When one correlates this against the 75.0 percent of the economically active between the ages of 20 and 49, we can see that this population of three million offers opportunities in postdegree activities or continuing education to be developed. The challenge lies in providing a set of educational alternatives that will motivate their professional and personal development.

#### CONTINUING EDUCATION IN MEXICO

The first continuing education efforts in Mexico date from 1933 in the form of medical information sessions instituted by Dr. Ignacio Chavez (AMEC, 1996). Subsequently, departments, faculties, and academic programs from public universities began promoting events. However, even after 70 years, it has not been possible to standardize continuing education officially, but through the efforts of the Mexican Association of Continuing Education, 133 universities from all 32 states have been brought together.

- 1) The center is identified as a part of the university, but with administrative autonomy for strategic planning and responsibility for developing its own image. It can set prices, develop programs and services, establish alliances, hire faculty, and acquire technology.
- 2) Its mission is connected to that of the university; in this regard, centers of continuing education must have a clear understanding of the institutional master plan and look to support the university's strategies by aligning its portfolio to that of the academic departments.
- 3) In most cases, continuing education uses the infrastructure of the university, including the administrative and technological processes to support the finances, maintenance, systems, and payments.
- 4) Continuing education is allowed to explore new models of education so that its successes can be used to enrich existing undergraduate and graduate programs or to design new ones.

Despite intense efforts on the part of universities, there is not yet a national consensus regarding standardization of credits/units to facilitate transfer of grades or recognition of work done between programs in Mexico and in other countries. Nevertheless, in 1996 the Mexican Association of Continuing Education defined five standard academic activities for which continuing education could be responsible:

- 1) Training and development.
- 2) Updating (keeping up with developments in one's discipline).
- 3) Personal growth.
- 4) Certification.
- 5) Cultural enrichment (learning the values of the fine arts).

The same year, the Association also identified 12 academic program modalities:

PROGRAM	DEFINITION	OBJECTIVE
Diploma	Curricular program that structures education-learning units on a specific topic and has enough time and formal requirements to guarantee the acquisition and development of knowledge. The program offers a mix of both theory and practice.	To professionalize the participant's knowledge and to acquire professional experience or background.
Course	Educational experience of one or several sessions featuring lectures, readings, or case studies.	To inform the theoretical or practical knowledge so that the participants can use it in a practical way.
Conference	Event featuring an expert talking to an audience or group of people.	To present or display complete and detailed information in order to identify problems and explore solutions.
Seminar	Meetings on specific subjects requiring participants to contribute different perspectives in order to promote mutual education.	To present or discuss a subject in order to consolidate or produce useful knowledge.
Workshop	Formal sessions in which participants analyze a specific subject in a practical way.	To develop a participant's ability to present a product or topic with appropriate practical and theoretical detail.
Congress	Meeting to exchange experiences and opinions between a group of people with experience in a certain field.	To update or present the results of academic research or experience.
Symposium	Speeches or exhibits presented or displayed by several individuals on different facets of a single subject.	To present or display basic information, relatively completely and systematically.
Information Sessions	Daily events to distribute instruction and specific information as well as to discuss a subject and to arrive at resolutions.	To identify, analyze, or solve problems by inspiring people to take action or to create interest and awareness.
Study Group	Cohesive group empowered to meet to share information and reflections.	To promote the knowledge of a specific topic.
Open Meetings	Discussion in front of an audience by a select group of people under the control of a moderator.	To present different points of view, facts, and opinions on a specific topic with lively interaction between the experts.
Panel	Meeting of experts presenting different views on a given subject.	To expand perspectives and knowledge of a topic and to promote group consensus.
Forum	Session or group in which the experts discuss a theme.	To display the most advanced knowledge of a specific discipline.

## REGIONAL PATTERNS FOR CONTINUING EDUCATION

The most active centers in promoting continuing education are Mexico City, Guadalajara, and Monterrey. In the recent ranking of Latin American cities in terms of their business opportunities, Monterrey, Mexico City, and Guadalajara occupied positions 4, 5, and 7, respectively (*America Economia*, 2003), an affirmation of the potential of these zones for developing continuing education. According to marketing studies of the Continuing Education Center of the Universidad de Monterrey, at least 45 Mexican universities have targeted these cities and their regions using mass media to promote their programs.

In the central zone, specifically in Mexico City, 27 universities and 37 non-university entities promoted 485 programs in the first semester of 2003 through magazines and the press. The nonacademic competition came from professional associations, institutes, academies, museums, fine arts societies, and others (UDEM, May 2003). In the west, seven important universities and at least 15 other organizations promoted more than 200 events during that period (UDEM, May 2003). As for the northeast region, eight universities marketed 418 open programs, and 62 non-university institutions offered an additional 135 programs (UDEM, December 2002). While print media was the primary means of advertising, these institutions also marketed themselves through catalogues and websites, which give a fuller sense of the institution.

### CONTINUING EDUCATION REGIONAL PROFILE: THE NORTHEAST

The three states of the northeastern zone are Coahuila, with a population of 2,313,400; Tamaulipas, with 2,781,932 inhabitants; and Nuevo Leon, with 3,869,9292 people (American Chamber Mexico, 2003). Although possessing only 9.1 percent of the national population, the region has a high potential for growth by reason of its proximity to one of the largest states of the US, Texas. In 2001 the northeast accounted for 13 percent of the country's GDP and had an economically active base of 3,313,593 inhabitants, equivalent to 9.8 percent of the Mexican population.

What kind of potential does this region have for continuing education activities? In 2002, the Center of Continuing Education at the Universidad de Monterrey was given the task of studying the population of upper middle class families with multiple wage earners in order to identify the opportunities for training programs in the city of Monterrey and its surroundings (UDEM, September 2002).

The following results, based on a sample of 298,561 people with a confidence level of 95.0 percent, show the potential of the market:

- 37.0 percent wanted to take courses and seminars.
- The three most preferred subjects chosen as a first option by 36.0 percent of the sample were computer science, English, and education; the rest of the responses were distributed among areas like psychology, administration, finance, history, and theology.
- 86.0 percent would be willing to pay up to \$600 annually for continuing education.
- The preferred meeting sites were universities (35.0 percent); other facilities were preferred by 25.0 percent of the sample, and 40.0 percent were indifferent.
- 32.0 percent of the female respondents versus 55.0 percent of the men preferred to participate in programs of long duration.
- 89.0 percent could pay with their own resources.
- 84 percent of the sample immediately recognized the three most important universities in the city of Monterrey.

The private sector was one of the most attractive users of training programs. For this reason, the Continuing Education Center of the Universidad de Monterrey worked to identify the elements that could capitalize on this knowledge. The analysis was carried out in the city of Monterrey by surveying a group of 130 large and medium-size companies specializing in manufacturing or services, organizations that generally use external providers of training (UDEM, May 2002).

- The three most positive aspects in hiring a training provider are subject knowledge, experience and level of performance over time, and external vision, the ability to understand the critical environmental factors that will affect a company's future.
- The three most negative aspects are the cost of the program, ignorance of the company's needs, and design of the training material.

- The most important variable is prestige.
- The least important variable is the facilities.
- The greatest amount invested per capita by organizations is at the executive level.

Between 1998 and 2002, the number of programs run by the Universidad de Monterrey increased 27.1 percent and the number of participants has gone up by 30.5 percent. On the other hand, the average income by event decreased by 16.7 percent. These figures show that the city of Monterrey is an attractive but highly competitive market for providers of continuing education. On average, the 2002 incomes of continuing education centers fell anywhere from 5.0 percent to 15.0 percent, compared to 2001; by contrast, independent consultants realized income gains of 21.5 percent (UDEM, June 2003).

What is the outlook for continuing education activities for centers in the northeast region? The short-term scenario—over the next two years—might look like this:

- In order to be competitive, institutions will probably not increase prices during this period.
- Faculty salaries and honoraria will be negotiated as a result.
- Program and course offerings will be more focused in order to decrease the risk of losing money.
- Small centers and independent consultants will attempt to sell their services at lower prices.
- The business market will continue to purchase courses, but will decrease their overall purchases and will invest more strategically.
- Quality programs provided by Mexican universities will be attractive to the US southern educational market.
- Centers of continuing education with a bad administration and poor image in quality will be driven out of the market.

## CONCLUSIONS

Despite trying economic pressures, significant opportunities exist in Mexican continuing education, but for continuing education to take advantage of them, certain conditions are necessary:

- The federal government must participate more actively in promoting continuing education in the form of laws that require the standardization of continuing education activities at all levels and in all sectors.
- A national strategy must be developed to convince the population of the value of continuing education for professional and personal growth.
- The activities of continuing education must be coordinated and facilitated at the national level, perhaps through the implementation of federal policy.
- The national association must continue to facilitate the growth of continuing education in Mexico and actively intervene when situations arise that threaten to slow growth.
- Centers must work together to promote continuing education as a concept, as well as marketing their own programs and courses.
- There must be uniformity and standardization in order to facilitate transfer of credit.
- Continuing education centers must take the initiative in applying the results of scholarship and research to programs, curricula, and courses that create value for clients.

As a member of the North American Free Trade Association (NAFTA), Mexico must look to continuing education to maintain and enhance its competitive role for the future. 

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# *Collective Bargaining and Governance Agreements with Distance Learning Faculty*

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## INTRODUCTION

ONE OF THE CRITICAL ISSUES IN HIGHER EDUCATION today is the dramatic tension between emerging distance learning (DL) technologies and organizations that respond too slowly in supporting their use. Technology quickly empowers the user, but it also challenges the user's organization to effect significant institutional change. The technology of distance education in American higher education has advanced more in the last ten years than it ever had. A major factor in this technology revolution is the emergence of the Internet as a powerful teaching and learning medium. The higher education community has only begun to exploit the seemingly limitless potential of web-based education. As web-based courses and programs enter the mainstream of American higher education and are adopted on a large scale nationally and internationally, administrators and faculty must understand and address important issues of quality, pedagogy, academic integrity, and intellectual property so that the Academy can embrace the new technology without reservation. Web-based education must be perceived as much more than a new revenue source for higher education: it must be seen as a valuable paradigm shift that will improve teaching and learning and extend our reach to important new audiences.

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## GRASSROOTS GROWTH OF UNIVERSITY OF MASSACHUSETTS DISTANCE LEARNING COURSES AND PROGRAMS

The University of Massachusetts (UMass) System has been one of the country's early and successful adopters of web-based education. Beginning in 1996, the five-campus UMass System, under the brand name UMassOnline, has grown to 11,000 online enrollments each year, 18 online certificates, and 13 online degrees. Rejecting the model of a for-profit, spin-off entity, UMass allowed the continuing education units on each campus to develop and schedule online courses and programs. As self-supporting entities with no public funding, an entrepreneurial mission, and their own venture capital, continuing education units were well positioned to take the lead in implementing the technology and effecting the pedagogical changes inherent in web-based courses.

The fast growth of the Lowell campus—6,000 enrollments in four years—was possible because its independent continuing education unit migrated online many of its courses, certificates, and degree programs. Lowell's academic departments largely ignored new web-based continuing education courses and programs targeted to a separate continuing education audience. On the other hand, the other UMass campuses focused on marketing traditional, on-campus programs to matriculated students and on creating and delivering new courses and programs to new audiences. In both cases, individual online courses and online programs were delivered with almost no collective faculty scrutiny because those campuses successfully argued that already approved courses and programs should not be required to undergo a second round of governance approval just because the mode of delivery had changed; it would constitute a clear violation of academic freedom. Thus, courses, bachelor's degree programs, and master's degree programs quickly migrated to the new medium with the support of individual faculty and departments.

*The fast growth of the Lowell campus—6,000 enrollments in four years—was possible because its independent continuing education unit migrated online many of its courses, certificates, and degree programs.*

**COLLECTIVE BARGAINING AND GOVERNANCE CATCH UP**

*... There was an increasing presence of continuing education online courses and online programs, a widening distrust among faculty engendered by myth and misunderstandings, and an emerging demand for state-funded web-based courses to replace low-enrolled face-to-face courses.*

The grassroots effort of individual faculty and departments had created many popular, high-quality online courses and programs without any institutional protocol or formal agreements. However, after three years of high-profile activity on the campuses, there was an increasing presence of continuing education online courses and online programs, a widening distrust among faculty engendered by myth and misunderstandings, and an emerging demand for state-funded web-based courses to replace low-enrolled face-to-face courses. As a result, the faculty as a collective whole began scrutinizing the initiatives of individual faculty and individual departments: it insisted on appropriate institutional policies and guidelines.

In spring 2002, the Massachusetts Society of Professors/Faculty Staff Unit (MSP/FSU)—the faculty union that represents only Boston and Amherst faculty—began collective bargaining with the UMass administration over distance learning issues. (The Dartmouth and Lowell campuses, latecomers to the UMass System, negotiate their faculty contracts with a different union local of the Massachusetts Teachers Association (MTA), and the union local did not negotiate distance learning working conditions.) By spring 2003, the Faculty Council of the Boston campus adopted principles and guidelines for adopting new online courses and programs.

**FACULTY PROPOSALS**

The MSP/FSU representatives began negotiations by discussing “general principles” for developing, approving, and assigning distance learning courses. These principles fell into six categories: management, academic accountability, intellectual property, compensation, training, and technical support.

***Management***

- Faculty participation in developing or offering online courses is voluntary.
- Unless departments agree otherwise, the ratio of full-time to adjunct faculty instructors will not exceed that of the ratio of on campus full-time to adjunct faculty.
- Enrollment shall be capped at 15 students per course.
- Faculty teaching online shall not be monitored without the faculty member's consent.
- When courses are taught for more than one year and/or with multiple sections, faculty will have supervisory authority over instruction and instructors and be appropriately compensated.

***Academic Accountability***

- Faculty members—department chairs, tenured and tenure-track faculty—will be in charge of developing credit courses.
- Academic departments, following the usual procedures, will have ultimate responsibility to appoint and evaluate all individuals teaching credit courses.
- Online credit courses will be reviewed and approved by regular academic process.
- Departments have the authority to determine acceptance toward degree program of DL courses originating elsewhere.
- Courses will be canceled if no qualified instructor, as determined by the department, is available.
- A faculty member shall sit on the University committee that oversees distance learning courses.
- The administration shall take steps to address the potential for academic dishonesty and fraud occurring in online courses.

***Intellectual Property***

- Regular campus-based faculty will have right of first refusal in developing online courses.
- Faculty members retain full ownership of all courses they develop and teach.
- The name of the person who developed the course and the campus name will be attached to the course.

- UMassOnline may “buy out” offering rights to courses developed by instructors who subsequently leave.
- Faculty will be compensated on a royalty basis for “archived” courses offered repeatedly or to large, scattered clientele. UMassOnline may contract with faculty to develop an “advance” system as a means of covering development costs, with the advance to be paid from accruing royalties.

*Compensation*

- Faculty will be compensated a minimum of \$2,000 above the Five College course overload stipend to teach an undergraduate course, and a minimum of \$3,000 above the Five College course overload stipend for teaching graduate courses.
- Faculty will be compensated a minimum of \$5,000 to develop a course.

*Training and Technical Support*

- Faculty will receive training to develop and teach online courses.
- Faculty will receive all needed software free of charge.
- At the discretion of the instructor, opportunities for same-time, same-place interchange between teacher and student, or among students, shall be built into credit courses taught at a distance.
- Faculty will have access to tech support 24/7.

**ADMINISTRATION RESPONSE AND NEGOTIATED COMPROMISES**

The first reaction of the administrators representing the UMass President’s Office was that many of the principles were inappropriate for a collective bargaining agreement: only certain issues were within the purview of faculty governance (for example, academic accountability) and others were already addressed by the MSP / FSU contract in ways that would not change simply because the method of course delivery changed.

Subsequently it became clear that many of the faculty bargaining team’s issues could be used to leverage the Administration’s position that distance learning courses and programs should be treated no differently than face-to-face courses and programs. With that premise in mind, the faculty representatives agreed that many of the issues had already been

addressed either in the existing collective bargaining agreement or in established governance procedures. Of the five categories of issues, training and technical support were merged, those related to academic accountability and training/technical support were agreed upon quickly, and compensation merely required documenting present practice; management and intellectual property required the most debate and compromise.

#### *Academic Accountability*

Given the Administration's position that DL courses require the same academic oversight as face-to-face courses, it was prudent to agree to all of the principles under academic accountability. For example, the existing collective bargaining agreement already gives rights of refusal to full-time and part-time faculty union members, depending upon academic status and seniority. This same privilege extends to DL courses. If unionized faculty members are unwilling or unqualified to teach a DL course, the academic department and Continuing Education may contract with non-unionized faculty. One clarification was needed: the responsibilities for developing DL courses were already identified in governance policy. Since a collective bargaining agreement could not address governance, it was clearly inappropriate to specify the responsibility of the department chair, tenured faculty, and non-tenured faculty.

#### *Technical Support*

The Administration's goal was to develop high quality DL courses, so all requests for training and technical support were readily agreed upon, with a few conditions. An online instructor would receive free software with the approval of the Division of Continuing Education. The opportunity for face-to-face interchange would be waived for students for whom such a meeting would pose a hardship.

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*Compensation*

This deliberation was simplified when parties agreed to set salary floors based on present practice. At Boston, online undergraduate and graduate instructors are paid a one-time stipend of \$3,000 for course development and \$4,000 for instruction. At Amherst, graduate online instructors are paid a minimum of \$4,300; undergraduate instructors, a minimum of \$4,000. Amherst pays varying rates above the minimum depending on the academic program.

*Management*

None of the management principles presented by the faculty team was acceptable. Each principle was deemed a management prerogative and therefore not appropriate for a collective bargaining agreement.

**Voluntary assignment:** Both parties recognized the authority of the Administration to assign courses to faculty as stipulated in the collective bargaining agreement. And although all instructors volunteer to develop and teach DL courses, the Administration retains the prerogative to assign DL courses, if that is in the best interest of the University.

**Ratio of full-time faculty to adjuncts:** The Administration agreed that full-time faculty must have active control over developing and teaching online courses. It encourages full-time faculty participation to help create and sustain quality (or the perception of quality) in online courses. However, this does not logically translate into a minimum number of full-time faculty teaching online courses. Each year the union will receive data indicating the proportion of DL courses taught by adjuncts in the preceding year.

**Enrollment caps:** The enrollment limits are the same as those stipulated in the collective bargaining unit for face-to-face courses. However, the Administration recognizes that smaller classes should be encouraged for DL instructors teaching their first DL course.

**Faculty monitoring:** Faculty members were concerned about colleagues and supervisors monitoring an online course anonymously and continuously without instructor consent. It was agreed that a course could be monitored under conditions similar to those that would prompt the monitoring of a face-to-face course: supervisor observation needed for instructor evaluation or in response to student complaints. A course may be monitored to determine if the course is ready to commence or if data for reports are needed.

**Author supervision:** The Administration argued that it would be a serious violation of academic freedom and professionally inappropriate for the author of the original course content to supervise subsequent instructors who use that course content.

*Intellectual Property*

**Course ownership:** A resolution of the issue of who actually “owns” online course content was critical to a trusting and collegial relationship between faculty and Administration. Both parties agreed that faculty must be encouraged to advocate for, develop, and teach DL courses and programs. This active support would only be possible if they felt that a fair balance had been achieved in assigning ownership over course content (as distinct from the courses *per se*). On the other hand, the University needed to establish enough ownership over the course content so that different instructors, if necessary, could offer a newly developed course in the future and in multiple sections. Four options became apparent: (1) the course content (classified as Exempted Scholarly Work, as in face-to-face courses) would be the intellectual property of the faculty; (2) the course content would become the intellectual property of the University if the content—pre-existing or otherwise—were commissioned by contract; (3) only pre-existing course content would remain the intellectual property of the faculty; and (4) the course content would become the intellectual property of both parties with specific conditions for re-use. The Intellectual Property Policy for the Boston and Amherst campuses passed by the University of Massachusetts Board of Trustees in April 1997 defines Exempted Scholarly Work as “a Scholarly Work that falls within certain categories of Copyrightable Works for which academic institutions have historically waived any ownership interest in favor of the author.” The current categories include “textbooks, class notes, research proposals, classroom presentation and instruction, research articles, research monographs, student theses and dissertations.” However, the policy gives the President of UMass the authority to expand the category. Although “the University automatically waives any ownership interest” in Exempted Scholarly Work and acknowledges the rights of “any Covered Individual who invents, creates, or discovers any Intellectual property . . .” it claims ownership of works that it has commissioned, unless there are written agreements to the contrary.

The best solution was “shared ownership” in the form of royalties paid to a course author for the University’s right to re-use the course

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content. The faculty author retains the right to use the content for future publications, even in online courses for other schools, unless otherwise stipulated through negotiations. Although the new contract does not specify the payment of royalties, it opens the door to shared ownership and royalty payment. The contract specifies that “DL courses shall be treated as Exempted Scholarly Work” and that “such content and materials shall not be subject to the exceptions or exclusions of the Policy—without the specific agreement among the faculty member, the University, and the Union.” In other words, shared ownership will require the consent of all parties. In addition, the contract stipulates that “a separate intellectual property agreement may be reached in order to meet external grant or contract requirements.”

**Author attribution:** There were two reasons for giving the instructor’s name and campus affiliation and identifying the course’s author and affiliation on the course site. First, faculty wanted a clear campus affiliation so that courses would

not be seen as generic UMassOnline products; there were concerns about the possibility of an independent “brand” and faculty without individual campus controls. Second, faculty expected the originating author to receive full credit. Past practice de-emphasized the campus affiliation and did not reference the course’s author.

**Offering rights:** The Administration rejected the concept of buying out offering rights to courses by instructors who subsequently leave. No one can own a course, only the attendant original course content. A University can offer any course again with the stipulation that all intellectual property rights have been considered.

**Royalties:** Unless course content has been agreed upon to be University property, the Administration agrees that it would be in the University’s interest to compensate faculty for using course content in subsequent iterations of a course.

## DISTANCE LEARNING GOVERNANCE CONTROLS ON THE BOSTON CAMPUS

In May 2003, the Boston campus's Faculty Council, focusing primarily on web-based delivery, adopted its first policies for reviewing UMass-Boston distance learning courses and programs. (The Faculty Senate on the Amherst campus has not addressed any policies for the academic review and approval of DL courses and programs; however, Amherst faculty actively engaged in discussions about DL policy issues with their Boston counterparts.) The policies reflect the Faculty Council's belief that distance learning should be encouraged because it increases the reach and accessibility of UMass-Boston courses, and because it promotes curricular and pedagogical innovation. The policies also emphasize the faculty's primary responsibility for curriculum and academic standards and underscore faculty control over academic quality and review. Distance learning courses are subject to the same review and oversight as traditional courses and use the same standards. Courses should not be held to different standards merely because a different medium is being employed. The faculty motion states that "Issues of pedagogical strategy that are not normally considered to be relevant to the review of more traditional courses should not be intruded into the review of courses utilizing new technologies."

*Courses should not be held to different standards merely because a different medium is being employed.*

### *Principles of Review*

Academic administrators and faculty governance bodies reviewing proposals for new courses featuring DL or reviewing existing courses migrating to a DL delivery should observe the following principles:

- Within professional and institutional limits, an instructor's right to choose pedagogical methods should not be infringed upon.
- A change in the mode of delivery should not, by itself, warrant governance review. Each college should establish a procedure for determining if a review is warranted. An academic unit or governance body that proposes an entire category of courses as inappropriate for DL offerings must make a convincing case at the Faculty Council.

- Distance learning courses should be held to the same high standards as other courses, but the means to meet those standards may legitimately differ from non-DL courses.
- Requirements for DL course proposals should not be so cumbersome as to discourage proposals for new DL courses or existing courses migrating to DL.

*Reviewer Responsibilities*

Specific responsibilities for the academic review of credit courses and programs are delegated to any of four bodies: academic administrators, the Faculty Council, the faculty governance bodies of the individual colleges, and the Division of Continuing Education (DCE). Academic administrators are primarily responsible for new DL course and program development, academic quality, and compatibility with other academic unit offerings. The Faculty Council recommends, for review and promulgation by the Chancellor, guidelines and general criteria for reviewing new and modified distance learning courses. (College governing bodies may establish additional guidelines and procedures consistent with University guidelines.) Subject to University guidelines, faculty governance bodies of the various colleges review and approve all new courses and new programs, and most importantly, use the Faculty Council's Principles of Review to evaluate proposals to teach existing courses with DL technologies. If the proposed modifications do not significantly alter the goals of a course, academic administrators—not a college governing body—can approve an existing course migrating to a DL delivery. Continuing Education should identify and develop new audiences for the University's courses and programs. As a result of these efforts, DCE will promote new courses and the conversion of courses to a DL mode of delivery but a faculty member or unit of the College must initiate any DCE proposal, which is subject to approval according to college procedures.

A breakthrough protocol was established with the Faculty Senate of the College of Arts and Sciences and was subsequently adopted by all the colleges:

- Faculty will submit proposals to departments for approval.
- Approved proposals will be forwarded to deans.
- Deans will pay particular attention to the faculty member's brief (1-2 page) explanation of the accommodations envisioned for teaching the course online rather than in the classroom.

- Deans will either return proposals to departments for further work or will approve them.
- Approved courses will be reported to the Arts and Sciences Faculty Senate.
- The Faculty Senate will report approved courses to the registrar.

This protocol has set an important precedent for expediting approval for existing courses migrating to a DL delivery: the academic administrator only needs evidence that the objectives and outcomes of the proposed DL version has the same or comparable objectives and outcomes as the existing face-to-face course.

#### LESSONS LEARNED

The Administration initially asserted that distance learning courses should not be subjected to a form of “double jeopardy”: approved courses and programs should not need approval merely because they are delivered in a different medium. It agreed that new courses or programs offered in a DL format should be approved through governance like a new course offered face-to-face. The Faculty Council responded that governance, not the Administration, should determine policy over academic matters, and that only the Council could decide if migrating courses should be reviewed, the criteria for judging the comparability of an existing course and its proposed DL counterpart, and who should do the judging.

The Administration was well served to acknowledge the collective faculty’s responsibility to review and approve all credit courses and programs, including existing courses and those migrating to a DL format. The Boston experience showed that although faculties rightfully demand academic oversight, they will also defend the academic freedom of individual faculty; individual rights will trump the impulse for institutional control. Once the Faculty Council at UMass-Boston secured

*The Boston experience showed that although faculties rightfully demand academic oversight, they will also defend the academic freedom of individual faculty; individual rights will trump the impulse for institutional control.*

ownership of the approval process, it established policies and procedures that protected the individual faculty member's right to choose the pedagogical format. In this case, faculty oversight translated into the faculty authorizing academic administrators to review and approve distance learning courses proposed by individual faculty.

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### **CONCLUSION**

The Boston and Amherst campuses of the University of Massachusetts have forged formal distance learning agreements with their collective faculties. Academic administrators should welcome collective bargaining and governance discussions as an opportunity to move distance learning from informal, grassroots efforts to an institutional commitment with faculty ownership. The formal discussions give many faculty the opportunity to address their concerns about adopting distance learning pedagogy, and to the extent that existing collective bargaining and governance agreements support the notion that distance learning courses should be treated in the same manner as those taught in traditional formats, faculty can endorse, actively support, and participate in the growth of quality distance learning programs. ☰

# *Student Financial Resources for Working Adults: Investing in the Education of the Current American Workforce to Meet the Challenges of the Twenty-First Century Workplace*

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## INTRODUCTION

AT THE ONSET OF THE TWENTIETH CENTURY, AS THE United States was evolving from an agrarian to an industrial economy, basic literacy was the only educational requirement for employment and financial security. Throughout the industrial era, the educational demands of the workplace progressively increased so that by the 1970s, a high school diploma became the standard educational qualification for a worker to enter the labor force with confidence; a high school education was sufficient to acquire a well-paid, unskilled manufacturing position. Today, global competition, the Internet, and rapid technological change have transformed the Ameri-

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can economic landscape. The educational demands of the contemporary workplace have dramatically escalated so that a postsecondary education will be a necessity to the majority of workers in the twenty-first century.

*Based on existing governmental policy, those who most need financial support to continue their education—unskilled and low-waged earners—actually benefit the least.*

But simple demographics indicate that as the current workforce cohort ages, a much smaller group of workers will follow. Consequently, employers will find that they must look to the current pool of incumbent workers to sustain and grow productivity. How well prepared is the current workforce to face the challenges of the twenty-first century workplace? Based on existing governmental policy, those who most need financial support to continue their education—unskilled and low-waged earners—actually benefit the least. Remedies need to be found that ensure these workers access to the appropriate continuing education and training.

#### MACROECONOMIC PERSPECTIVE

In 2000, according to US Department of Labor, Bureau of Labor Statistics data, 114 million Americans, or 80 percent of the United States civilian population between the ages of 25 and 64, were in the workforce (Toossi, 2002). Based upon data from the same year, Bosworth and Choitz (2002) found that 10 percent of workers had not completed high school, 31 percent had only a high school diploma, and 19 percent indicated some college experience but no degree. In 2000, 60 percent of the American workforce did not have a postsecondary credential. Between 1996 and 2006, the Bureau of Labor Statistics predicts average employment growth will increase by 14 percent (Stuart, 1999). Jobs requiring degrees are all predicted to increase above the national average: associate's degrees, 22 percent; bachelor's degrees, 25 percent; master's degrees, 15 percent; first professional degrees, 18 percent; doctoral degrees, 19 percent. In contrast, jobs requiring less than a postsecondary degree are predicted to increase at rates less than the national average. In an era known as the age of information, 60 percent of American workers are under-educated and unprepared to meet the projected demands of this century's workplace.

## MICROECONOMIC PERSPECTIVE

Using US Census Bureau data, Stuart (1999) reported that the average college graduate in 1975 earned 58 percent more in salary and wages than the average high school graduate. In 1998, a college graduate earned 77 percent more than the average high school graduate, showing a significant increase in the wage gap over the past two decades. Stuart also found that higher levels of skills and education contributed to a greater likelihood that an employee would receive pension and health insurance, suffer less unemployment, and more easily find re-employment if displaced.

Unfortunately, current unskilled workers face significant barriers to participating in postsecondary education. Based upon research conducted by Mathematica Policy, Inc., Bosworth and Choitz (2002) found several obstacles to full-time workers continuing their education, including lack of time, family responsibilities, inconvenient time and place of offerings, and cost of courses. In 1991, the National Center for Education Statistics (NCES) National Household Education Survey (NHES) began collecting data on adult participation in education, including formal academic education, training, and informal learning. Bosworth and Choitz found that self-reported participation in some form of adult education went from 58 million participants in 1991 to 90 million in 1999, an increase of nearly 50 percent in less than a decade. After 1995, reports based upon the NHES became more specific relative to employed adults. Full-time employed adults increased participation in adult education from 60 million in 1995 to 71 million in 1999, an 18 percent jump in four years.

The number of part-time students older than 25 participating specifically in higher education has grown every year. In 2000, according to NCES data, 40 percent of undergraduate students attending two- and four-year degree-granting institutions of higher education were 25 years of age or older. Of those attending part-time, 65 percent were 25 or older. According to the University Continuing Education Association (1998), part-time

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*... Many unskilled workers appear to be caught in an educational bind: continued education is their passport to better jobs with better pay, but their current life circumstances restrict their ability to continue their education.*

students, the majority of whom are adults, represent the fastest growing population in higher education, increasing from 3 million students in 1970 to 6.2 million in 1997. According to the NHES:1991, the average number of formal or informal courses taken by adults over a one-year period was 2.8 (Bosworth and Choitz, 2002). This means that the majority of part-time adults enroll less than half-time, defined as fewer than six credit hours per semester in a higher education setting.

#### **ROLE OF PUBLIC POLICY**

The importance of a skilled workforce to the vitality of the American economy and the significance of training existing workers to meet the new demands of the contemporary workplace are quite clear. However, many unskilled workers appear to be caught in an educational bind: continued education is their passport to better jobs with better pay, but their current life circumstances restrict their ability to continue their education. Recent findings by research organizations like FutureWorks in Massachusetts, MDRC in New York, and the Center for Law and Social Policy in Washington, DC, have generated interest in public policy solutions. For example, Bosworth and Choitz (2002) have suggested that federal and state public policy governing student financial assistance systems can be improved to address a number of barriers to adult participation in higher education. The fundamental premise is that federal student assistance policies play an instrumental role in defining college and university programs and services. If a substantial funded market existed, educational institutions would be motivated to create programs to accommodate the situational and institutional needs of working adults.

Unfortunately, current public policy and other financial resources available to working adults fail those in most need, that is, unskilled and low-wage earners.

## STUDENT FINANCIAL RESOURCES

At present, the major student financial resources for working adults are federal assistance programs, federal tax provisions for individuals and employers, state-based aid, and employer educational assistance programs. Additional workforce development resources are available, such as those established under the Workforce Investment Act of 1998, but full-time employment typically precludes eligibility for such programs, which are primarily intended to assist welfare recipients or chronically unemployed persons in entering the workforce or retrain displaced workers. Other federal agencies such as the Social Security and Veterans Administrations also provide educational benefits to eligible adults, but they have been excluded from this overview because such programs are not available to the general public.

## FEDERAL TITLE IV PROGRAMS

Title IV of the US Higher Education Act of 1965 set up the federal government's primary student financial assistance programs, which are administered by the US Department of Education, Office of Student Financial Assistance. Title IV programs include eight grant, loan, and work-study programs for students determined to need assistance. In fiscal year 2001, the federal government expended \$47 billion in Title IV programs, 22 percent of which were allocated to grant/work-study programs, and 78 percent to loan programs (Bosworth and Choitz, 2002).

The Federal Direct Loan Program and the Family Education Loan Program—both formally the Federal Stafford Loan Program—make up the largest percentage of overall student financial assistance, but neither is available to students enrolled less than half-time. Students enrolled less than half-time are not excluded from the Federal Perkins Loan Program, the Pell Grant Program, or the Supplemental Education Opportunity Grant Program, but these programs are designed for students with exceptional need, provide much less aid relative to the aforementioned loan programs, and favor students enrolled on a full-time basis due to their higher cost of education.

Although working adult students enrolled less than half-time might be eligible technically for some forms of federal student aid, Bosworth and Choitz (2002) hypothesize that three of the Title IV eligibility requirements present major obstacles to large numbers of working adults. The first is demonstration of financial need determined by the expected cost of school

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minus the student's expected financial contribution. Adult students, who more commonly attend less expensive community colleges or other public institutions, and who typically cannot claim living expenses because they are enrolled less than half-time, are usually determined not to have the requisite need to qualify for most aid. The second provision requires regular student status, that is, enrollment for the purpose of obtaining a degree or certificate. Adult students enrolled in individual courses that are not part of an organized program for a credential would not meet this requirement. The third obstacle to working adults involves substantiating satisfactory progress. The qualitative standard for satisfactory progress is grades; students must maintain the appropriate academic standing required for graduation, not an unreasonable expectation for a college or university to maintain. The quantitative standard, on the other hand, which focuses on time to completion, presents a substantial barrier for adult students attending less than half-time. Although individual schools set policies and there is no standard minimum pace, the Department of Education stipulates that an undergraduate program cannot exceed 150 percent of the published length of the program as determined by the school. This criterion eventually disqualifies eligibility for students attending less than half-time.

Title IV legislation was originally established to meet the educational demands of the American economy in the 1950s and 1960s. The profile of the majority of college students was 18 to 22 years old, white, attending full-time, and living on campus (Hearn, 2001; Wingspread, 1993). Over time, most traditional first-generation college students were able to access higher education because of the evolution of financial support by the Higher Education Act. When it was enacted, Title IV was suited to the social, political, and economic environment of the times, and in subsequent decades, through

amendments, has fostered increased access for traditional-aged college students. The need still exists to support full-time traditional college students, but today's federal student financial assistance programs, which exclude large numbers of working adults, do not reflect the economic or educational realities of the twenty-first century. It is time for another evolution of the Higher Education Act that is designed to support this new evolving student market: working adult students.

#### **THE 1997 FEDERAL TAXPAYER RELIEF ACT**

In an attempt to address these concerns, six federal tax credit programs relating to higher education were established as part of the 1997 Federal Taxpayer Relief Act: the Hope Scholarship and Lifetime Learning Tax Credits, a tax deduction for interest on education loans, penalty-free withdrawals from individual retirement plans for higher education expenses, modifications of qualified State Tuition Plans, Education Individual Retirement Accounts, and an extension of the exclusion for employer-provided educational assistance (Hoblitzell and Smith, 2001). Most of these tax relief efforts target middle-class Americans by providing tax benefits for the education of dependent children.

The Hope Scholarship Tax Credit is applicable to working adults but fails to help the less than half-time student or the student not enrolled for a credential. It provides for a federal income tax credit of up to \$1,500 for each eligible student's qualified educational expenses (tuition and fees only) in a given tax year for a maximum of two years. According to the Tax Credit Reporting Service (2001), the basic eligibility requirements for this program are that the student be enrolled at least half-time in one of the first two years of a postsecondary educational program at a Title IV-eligible institution in pursuit of a degree, certificate, or other recognized credential.

Effective 2003, the Lifetime Learning Tax Credit allows a tax credit up to \$2,000 per taxpayer for the total qualified educational expenses per year for all eligible students claimed by the taxpayer. The tax credit does not increase

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based upon the number of eligible students, as does the Hope Scholarship Tax Credit, but the Lifetime Learning Tax Credit may be claimed for as many tax years as the qualified educational expenses are paid. This tax credit does not require a minimum enrollment status or enrollment in a program leading to a credential, and is applicable to graduate, undergraduate, and nonacademic courses to improve job skills.

*The early evidence is that educational tax deductions provide relief to middle-income families with dependent children, but do not provide incentives for dependent or independent students facing financial obstacles to higher education.*

The passage of the Taxpayer Relief Act of 1997, and specifically the implementation of the Hope Scholarship and Lifetime Learning Tax Credit Programs, signaled a dramatic and controversial move from previous federal efforts. Through these programs, no payments are made directly to the student or educational institution; instead, dollar amounts are deducted from federal income tax liability, and tax credits are awarded after the fact, up to 18 months after the expenses are incurred. Hoblitzell and Smith (2001) cite several reasons for the emergence of student financial relief through the federal tax code: public support in general for student grant aid has declined, thus prompting legislators to seek alternatives that are more inclusive of middle-income voters; tax provisions do not have to be authorized and reappropriated every year like Title IV programs; and supporting higher education through tax credits also reduces competition and public friction between the funding of higher education and direct support of other public services.

The early evidence is that educational tax deductions provide relief to middle-income families with dependent children, but do not provide incentives for dependent or independent students facing financial obstacles to higher education. In 1999, the Lumina Foundation for Education (Hoblitzell and Smith, 2001) funded a study of the use of Hope Scholarship and Lifetime Learning Tax Credits by students at the University of California to assess the effectiveness of these educational tax credits in helping students and families meet the costs of higher education. The study concluded that dependent undergraduate students whose parents earned between \$60,000

and \$79,900 made greatest use of the tax benefits. Although respondents were not classified by full-, half-, or less than half-time status, the main reasons cited for students not claiming a tax credit validated concerns with regard to the complexity of the programs. Reasons included exceeding the income limits, ignorance of the tax credits, amount was not worth the effort, ineligibility because of part-time enrollment, and ineligibility because of not being in a degree program. The last two reasons were of considerable concern to the researchers because the Lifetime Learning Tax Credit does not require these conditions. The Lumina Foundation study made clear that current tax credits are successful in rewarding middle-income families for investing in their children's education, but do little to include lower-income American workers who would benefit from similar educational investments.

*... Providing financial assistance to less than half-time students is not a high priority for state financial aid programs.*

### **STATE-BASED STUDENT FINANCIAL ASSISTANCE**

Based upon a 1992 survey of the National Association of State Scholarship and Grant Programs, the University Continuing Education Association (1996) found that 30 states had no special student financial assistance programs for part-time students but did not necessarily exclude them from general aid programs. Fourteen states reported that they provided part-time students tuition aid through appropriations to public institutions. Six states provided assistance to part-time students through programs that targeted part-time students with exceptional need. The 1992 state survey did not inquire about assistance available to part-time students enrolled less than half-time.

In 2001, Bosworth and Choitz (2002) conducted their own survey of members of the National Association of State Student Grant and Aid Programs and concluded that providing financial assistance to less than half-time students is not a high priority for state financial aid programs. Respondents were asked to rank student financial assistance for less than half-time students relative to its importance as a policy issue within their state: On a scale of 1 to 5 (least important to most important), with an 80 percent response rate, the average response was a 2.

### **EMPLOYER EDUCATIONAL ASSISTANCE PROGRAMS**

The Taxpayer Relief Act of 1997 also included an extension of Section 127 of the Revenue Act of 1978, allowing employers to provide up to \$5,250 per year in tax-free reimbursement for tuition, books, and fees for job- or non-job related education. The provision has expired and has been renewed ten times since its inception. The uncertainty of its continued renewal has apparently been a detriment to its broader use. Based upon US General Accounting Office's data, Bosworth and Choitz (2002) found the use of this tax benefit between 1992 and 1993 to be very limited: 3,200 companies filed annual claims supporting 900,000 employees. With the Economic Growth and Tax Relief Reconciliation Act of 2001, Section 127 is now permanent, at least for the next ten years of the 2001 tax code's effectiveness, removing the disincentive for employers to take advantage of this program. However, tax-free reimbursement of educational expenses, while benefiting working students, merely serves to eliminate a tax penalty rather than provide an incentive for workers to continue their education.

*... The current employer practice of investing more heavily in higher skilled employees presents a paradox for the low-wage or unskilled worker: an employee must have already acquired skills considered desirable to the employer in order for the employer to invest in the employee's continued education.*

Even though relatively few employers make use of Section 127, employer-reported support for continuing education is high. Based upon a 1995 national survey of companies conducted by the International Foundation of Employee Benefits Plans, the University Continuing Education Association (1998) found that continuing education was ranked second to health insurance in attracting and retaining workers. Unfortunately, the distribution of employer provided educational assistance is heavily skewed toward higher-earning and more-educated employees. Stuart (1999) found that 90 percent of employees with a bachelor's degree or higher received formal employer-provided training, compared to 68 percent

of those with some college and 60 percent of those with a high school education or less. Self-selection may be a factor in participation in employer-provided education, since higher levels of educational attainment often predispose one to continue seeking educational opportunities. But regardless of the cause, the current employer practice of investing more heavily in higher skilled employees presents a paradox for the low-wage or unskilled worker: an employee must have already acquired skills considered desirable to the employer in order for the employer to invest in the employee's continued education.

### OPPORTUNITY FOR CHANGE

The educational plight of working adults has broad social, political, and economic implications for American society. Wage disparities based upon educational achievement will continue to widen throughout the twenty-first century, making it increasingly more difficult for an unskilled worker to earn a living wage or support a family. Furthermore, employer productivity and competitiveness will suffer in an economic environment where the growth in skilled jobs outpaces the number of new skilled workers. Removing the barriers that deter many working adults from participating in postsecondary education and remedying this national dilemma presents a complex challenge, but many concerned stakeholders are looking to the reauthorization of the US Higher Education Act in 2004 as a timely window of opportunity to attempt to do so.

The most obvious strategy is to update Title IV eligibility requirements so that they are more inclusive of working adults. Such action to make student financial aid more accessible for working adult students is broadly endorsed. However, the obstacles faced by working adults include situational as well as financial barriers. The FutureWorks Company, a consulting and policy development firm specializing in regional economic growth, with the support of a number of foundations, has envisioned a new and provocative federal strategy to attack this issue on several fronts. Incorporated in a proposed new Title under the Higher Education Act—Title X—this approach proposes a partnership between the Federal government and individual states, the largest financial stakeholders in both higher education and regional economic growth, and creates federal incentives for “state governments to structure their higher education governance, financing, licensing, programming, and accreditation policies to better serve the education and skills training

*... More generous and consequential incentives in the form of tax credits should be extended to employers who demonstrate efforts to expand access to training across the full spectrum of their workforce.*

needs of working adult students" (Bosworth and Choitz, 2003, page 2). For the next six years of the new reauthorization, Title X would provide initial planning grants and subsequent formula-based implementation

or research grants to any state willing to initiate changes in its higher education policy that would promote access, opportunity, and success for working adults. The proposed new legislation would allow states a wide degree of latitude and discretion in determining the foci of their initiatives; however, states also would be held accountable to their own performance objectives.

The general concept of Title X has piqued the interest of members of Congress and leaders in business, labor, and state-based organizations. The proposed legislation deserves the attention of the higher education community; it represents an innovative response to a time-sensitive matter since the House of Representatives is expected to begin hearings on the reauthorization of the Higher Education Act in the Fall of 2003. According to Victoria Choitz, FutureWorks Senior Program Analyst, "Title X is currently a working draft which has been received favorably by a number of legislators. We are continuing to seek input from a broad range of stakeholders with the ultimate goal of introducing Title X as new legislation within the upcoming reauthorization process of the Higher Education Act."

Yet to be hammered out is the role of the private sector. Can the employer community be further motivated to support the continuing education of its workforce by expanding the parameters of Title X, or through parallel amendments to other existing legislation? Whatever the solution, more generous and consequential incentives in the form of tax credits should be extended to employers who demonstrate efforts to expand access to training across the full spectrum of their workforce. Federal and state governments, institutions of higher education, and employers are all key stakeholders in the education of American workers. The ideal public policy formula should represent each as vested partners.

## CONCLUSION

The Wingspread Group on Higher Education (1993) predicted that in the twenty-first century “individual economic security . . . will depend not upon job or career stability, but on employability, which itself will be a function of adaptability and the willingness to learn, grow, and change throughout a lifetime” (page 3). The need for continuous workforce training and education is inevitable in an economy that is knowledge-based. At the moment, however, our nation is ill equipped to meet this need. Title X represents the beginning of a concerted, focused, and viable plan of action. Interested readers should visit <http://www.futureworks-web.com> to review the draft of Title X in its entirety, to access other related research, and to contribute to the deliberations shaping the proposed scope of Title X. Working adults, willing to share their educational aspirations, frustrations, or triumphs, are also encouraged to add their personal experiences to the discussion regarding this new and innovative legislation soon to be presented to Congress. 

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# PROGRAM NOTES





# *The Great Plains Interactive Distance Education Alliance*

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THE LANDSCAPE FOR HIGHER EDUCATION DELIVERY has evolved from the traditional classroom-based, instructor-led format toward one that is internet-based and learner-led. To manage a change of this magnitude in an era of fragile public funding, universities—and higher education oversight boards and state legislatures—have discovered the potential of inter-institutional collaboration to deploy rapidly new undergraduate and postbaccalaureate programs to meet emerging needs of the professions and to target professionals seeking education for career advancement and career change. Institutions are banding together in innovative ways to capitalize on their collective and interconnected technological and human capacity, and many states have formed statewide alliances for the purpose of delivering educational courses and programs to students at a distance.

The Great Plains Interactive Distance Education Alliance for the Human Sciences (Great Plains IDEA) that is described in this paper is a consortium of ten human sciences colleges located in ten states that capitalizes on the talents of inter-institutional faculty teams to offer distance education master's degrees and postbaccalaureate certificates. Institutional members of the Great Plains IDEA are Colorado State University, Iowa State University, Kansas State University, Michigan State University, Montana State University, University of Nebraska, North Dakota State University, Oklahoma State University, South Dakota State University, and Texas Tech University.

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Copyright 2003, Virginia M. Moxley. Virginia M. Moxley is Associate Dean, College of Human Ecology, Kansas State University, and Chair, Board of Directors, Great Plains Interactive Distance Education Alliance. Sue C. Maes is Senior Development Officer, Kansas State University, and former president of the University Continuing Education Association.

*Institutions are banding together in innovative ways to capitalize on their collective and interconnected technological and human capacity, and many states have formed statewide alliances for the purpose of delivering educational courses and programs to students at a distance.*

creating a marketplace for sharing distance education graduate courses. The University of Nebraska College of Human Resources and Consumer Sciences

The Great Plains IDEA was created by academic deans to serve a particular academic discipline within the partner universities. Such an alliance depends on the goodwill of the institutional representatives and the shared need for the programs rather than on a reallocation of institutional resources into alliance operations. While such alliances cannot be developed and sustained without support by the chief academic officers, they are initiated and led by disciplinary academic administrators. A program alliance is quite different from an institutional alliance. Among the differences are the following:

- The alliance is organized to meet a disciplinary need for a program that no one institution can meet because of lack of human capacity to implement a new distance education program.
- Administrators have direct oversight of the faculty who participate in inter-institutional programs; they manage workload assignments and perform assessments of the faculty from their institutions.
- Inter-institutional faculty teams propose and develop programs. Faculty who comprise these teams also teach courses and advise students enrolled in the programs.
- Alliance administration is minimal. There is no need to fund much infrastructure or staff—work is distributed among participants with little central management.

## HISTORY

The Great Plains Interactive Distance Education Alliance was founded in 1994 with the modest goal of increasing the access of rural professionals to postbaccalaureate educational opportunities by

had initiated a distance education master's degree and called a meeting of academic deans from peer institutions to discuss possibilities for collaboration. The alliance, which had an initial membership of eight institutions, is now an alliance of ten institutions from ten states, six of which took part in the initial meeting.

The alliance evolution occurred in several overlapping phases. Though the first meeting was intended to identify collaborators in distance education, both collaborative and competitive tendencies emerged. Although it was unclear then what the future of distance education might mean for graduate education, no institution wanted to be left behind. The coming together raised the bar for distance education programming and created a form of peer pressure that advanced the engagement in distance education of all participating universities.

As the administrative team met, the benchmarks for distance program delivery and needs became clearer. In many ways this created frustration because we knew more and more about the public need, but we also knew that we did not have the resources and faculty with distance teaching skills. During this phase, the administrative team shared information and engaged in "show and tell" about their institutional distance education offerings, and the alliance sponsored faculty development workshops to prepare faculty to teach online.

*The coming together raised the bar for distance education programming and created a form of peer pressure that advanced the engagement in distance education of all participating universities.*

#### PHASE I: LAYING THE FOUNDATION 1994-98

The development of trust is essential to building alliances. The first step in building trust is to select with care the partners with whom you will work—if the people are not trustworthy, the practices will not be trusted. If the partner institutions are not invested in the success of the venture, the progress and sustainability of the alliance will be compromised. The second step is listening to and learning from each other. With a foundation of trust and an atmosphere of open communication, we were able to begin working on policies. Linda Hoover, Dean of the College of Human Sciences at Texas

Tech University, characterizes the process in this way: "As we've worked through trying to develop policies and procedures for the alliance, we found that from university to university, everyone is pretty flexible until you get to their 'sacred' policy or procedures. But if a real alliance is going to be created, you have to trust each other, you have to be very flexible, you have to move toward truly realizing that flexibility, and putting away some of those sacred policies and procedures" (Hoover, video clip).

*When the alliance began in the mid-'90s, graduate faculty were not particularly interested in teaching via the Internet; in truth, there were many disincentives for them to teach at a distance . . . .*

When the alliance began in the mid-'90s, graduate faculty were not particularly interested in teaching via the Internet; in truth, there were many disincentives for them to teach at a distance: the number of students with whom they worked would increase, they would have to learn new teaching methodologies, and their relationships with colleagues might be negatively affected. For this reason, during the first two years, the focus was on educating the faculty and administrative participants. This was done through two satellite conferences and two face-to-face conferences that focused on the increasing significance of distance education, the changing public perception of higher education, and the technological advances that were allowing us to extend the reach of our educational programs over the Internet. The US Department of Agriculture awarded two Agricultural Telecommunication grants to the University of Nebraska to support these conferences.

By 1996, internet access to rural and remote locations in our states had expanded, rural professionals increasingly demanded education that they could access from their homes and workplaces, courseware to support internet delivery of distance education courses was commercialized, and faculty and administrators were growing interested in meeting the opportunities created by this convergence. The University of Nebraska created intensive, weeklong Faculty Development LearnShops to help faculty adapt courses to web-based instruction. Each institution sent five faculty members to workshops where they had hands-on experience with instructional software.

Two years after the first meeting of the alliance, we were sharing courses and a webpage was implemented (<http://www.gpidea.org>). At this point, the realities of institutional policies that limited our ability to capitalize on each others' courses came to the forefront of our attention. For over a year we debated which instructional software would best support the inter-institutional course, finally determining that faculty should use the software that their employing institution supported. In retrospect, this decision seems obvious, but at the time it was anything but. Additionally, because each institution placed restrictions on who was eligible to teach graduate courses, we needed a plan to establish the qualifications of those assigned to teach shared courses. A team of faculty members acting as the credentials committee provided an elegant answer to the dilemma: if an individual were qualified to teach graduate courses at the employing institution, the individual should be considered qualified to teach courses for students at all institutions, a decision that continues to serve the alliance well.

#### PHASE II: PROGRAM DEVELOPMENT

##### 1998–2000

As the alliance evolved into a functioning entity, the focus remained on meeting needs of professional audiences. However, the alliance found that those needs called for programs, not just courses. Faculty participants in alliance-sponsored workshops began to function much as institutional colleagues do—sharing ideas, strategies, collaborating on teaching and research. This collegiality led a faculty member to suggest that we offer a master's degree in financial planning, a degree that no institution had the capacity to offer alone and one for which the need was apparent. Graduate faculty members from seven universities collaborated to develop the curricula, assign teaching responsibilities, and set qualifications for admission to the program. Although this process required only four days of face-to-face contact, the time elapsed from the first meeting to the program implementation was two years. Now in its third year, the program enrolls more than 100 students and is fully operational.

*As the alliance evolved into a functioning entity, the focus remained on meeting needs of professional audiences.*

*However, the alliance found that those needs called for programs, not just courses.*

**PHASE III: BUILDING A POLICY AND  
PRACTICE FRAMEWORK 2000 AND BEYOND**

*Our alliance did not set out to effect fundamental change in the member universities, but as an outcome of our work, our institutions as well as our alliance have matured.*

When the first inter-institutional program was implemented, the need for binding agreements became urgent. We began to develop bylaws for the alliance, memoranda of agreements for the programs, financial agreements about pricing courses and transferring funds, secure student data management processes to enable one institution to provide instruction and another to provide transcripts, processes for developing and assessing programs, and written principles to define how the alliance functioned. This work, supported by a grant from the US Department of Education Fund for the Improvement of Postsecondary Education Learning Anywhere Anytime Partnership Project, led to significant advances in alliance operations and outcomes and has enabled us to create model policies and practices that can be used by others.

**CULTURE**

Moving from campus-based, limited-enrollment graduate education to internet-based education with larger enrollments per program is a major transition, particularly in research universities.

Our alliance did not set out to effect fundamental change in the member universities, but as an outcome of our work, our institutions as well as our alliance have matured.

From the outset, the culture of the Great Plains IDEA has been one where administrative leadership is shared, policies are designed to facilitate academic innovation, faculty participants provide academic leadership, and both alliance and institutional interests govern decisions. The notion of shared governance is so pervasive in this alliance that formal memoranda of agreement about program and alliance participation were initiated only after effective working agreements were informally arranged and tested. In this alliance, agreement on principles precedes agreement on policies.

The work of Rosabeth Moss Kanter (1994) that characterized the stra-

tegic advantages of business alliances guided the formation of our alliance. Kanter identified three fundamental aspects of business alliances that apply to higher education alliances:

- 1) Successful alliances yield benefits for the partners and evolve progressively in their possibilities.
- 2) Successful alliances involve collaboration (creating new value together) rather than mere exchange (getting something back for what you put in).
- 3) Successful alliances are supported by a dense web of interpersonal connections and internal infrastructures that enhance learning; they cannot be controlled by formal systems.

Alliance building is an intellectually and emotionally intense endeavor of great complexity. Each partner is required to give a little with the hope of getting a lot. However, because of the nature of academic institutions, when academic deans form alliances, they make work for other functional areas of the institutions they represent. For instance, although deans can provide the administrative and financial support to the faculty who develop and teach inter-institutional programs, they cannot price the programs without getting buy-in from the financial officer of the university. They cannot “transcript” the course grades without buy-in from the registrar. They cannot apply graduate courses taught by noninstitutional faculty to graduate programs of study without buy-in from graduate faculty leaders and administrators.

Inter-institutional teams of graduate faculty, graduate deans, chief financial officers, registrars, and academic deans conducted discussions and planning sessions that developed the policies and practices that define the Great Plains IDEA. This work is not simple. The teams, coming from functional areas, see issues differently. Within teams, members are wont to change their minds—generally for good reasons. For that reason, debate, reconsideration, and edits to documents are encouraged. The typical meeting of inter-institutional teams goes something like this: day one—everyone engages in working together on the assigned tasks; overnight—individually

*... When academic deans form alliances, they make work for other functional areas of the institutions they represent.*

the participants dream, reflect, discuss, and think about the work of the first day; day two begins with challenges to the work from day one. This will look and feel like mutiny, but it is actually a necessary step toward realizing the synergy of working as a group.

*Alliances have cultures and contexts—both require attention. The context for our alliance is that we focus on meeting needs collectively that could not be met by individual institutions.*

Alliances have cultures and contexts—both require attention. The context for our alliance is that we focus on meeting needs collectively that could not be met by individual institutions. Furthermore, we focus on developing courses and programs that meet our collective academic standards. So when it comes to program approvals and reviews, we ask questions such as these about the context: Is what we deliver meeting the critical needs? Is what we offer measuring up academically? Is the alliance fitting our institution's goals?

#### PRINCIPLES

To help us answer these questions and guide our work, we rely on deceptively simple principles:

**Behave as equals:** Explicitly stating this assumption has been essential to developing working relationships. Once this principle was accepted, other agreements became easy to adopt. Graduate faculty status at one institution is honored at all. Alliance courses taught by any institution are “transcribed”

by every institution for their students in the course. The alliance website is institution-neutral in format, although it is housed at the lead institution.

**Share leadership:** Partner universities are represented as voting members of the alliance board, whose officers are elected from the membership and whose responsibilities rotate. All board members contribute to the leadership of alliance programs and projects. Our “leader-full” board, composed of academic administrators, is an important asset.

**Respect and accommodate institutional differences:** Although alliance curricula are the same everywhere, the course designations and program and degree titles are unique to each institution. Different approaches to faculty workload and compensation, technical, administrative, and financial arrangements, and institutional culture are accommodated.

**Simplify student access:** Students in alliance programs apply for admission to the institution from which they seek to receive their degree. Course advising and enrollment takes place at this institution. All courses are offered at a common price. Although courseware may differ, to the greatest extent possible, the differences in practice from one institution to another are transparent to students.

**Seek the compelling elegance of simplicity** (Carver, 1990): We value low input/high impact approaches to collaborative work. As Carver notes in his book, *Boards That Make a Difference*, “brevity is the unheralded secret of excellence” (page 43). When ten institutions, each employing a cadre of attorneys, engage in joint endeavors, there is a tendency to over-complicate the arrangements. Whenever possible, we move beyond the complexity inherent in the activity to find strategies to simplify working arrangements.

#### **THE GREAT PLAINS MODEL: POLICIES AND PRACTICES**

As a joint project of its ten institutional members, the Great Plains Interactive Distance Education Alliance for the Human Sciences is able to give students access to multi-institutional academic programs at the graduate level, including master’s degrees and graduate certificates in family financial planning, gerontology, and youth development. The Great Plains IDEA also features single institution academic programs in family and consumer sciences (master’s degree from the University of Nebraska), clothing and textiles (master’s degree from the University of Nebraska), dietetics (bachelor’s degree from Kansas State University), and restaurant, hotel, and institutional management (master’s degree from Texas Tech University). The alliance, as such, does not offer courses and programs; it al-

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lows institutions to pool their instructional assets to create courses taught by faculty members from multiple institutions and attract students from multiple institutions. In effect, the members of the alliance purchase instruction from each other for the benefit of their students.

*Program and Curriculum Development*

Although human sciences academic deans are the prime movers of the Great Plains IDEA, they cannot “will” courses or programs to happen; inter-institutional faculty teams develop programs and curricula, which must be reviewed and approved by the institutions at which they are offered. The most successful inter-institutional undertakings are those that meet the following criteria:

- There is a large and growing professional demand for graduates.
- Individual institutions are unable to compile faculties sufficient to offer the programs.
- Courses are amenable to online delivery.

Once approved, the program name and course numbers for inter-institutional programs are unique to each member institution, and students enroll in courses or are admitted to a program of study through their home institution, which is responsible for assessing instructional quality and student learning outcomes.

The faculty teams function much like most departmental faculty colleagues: they meet occasionally, they communicate often, they argue, they philosophize, they behave erratically, they leave the university and must be replaced, but mostly, they behave as academicians who want to be part of a high-quality graduate program that attracts excellent students. There are rewards and costs for faculty who participate in inter-institutional programs. The prime rewards are the rich peer interaction with faculty from other institutions, opportunities to teach specializations that could not otherwise be offered by their institution, and the experience of teaching a much more diverse student group; participating faculty are also granted *de facto* teaching credentials at other member institutions.

The perceived (and often real) costs are an increase in workload responsibilities and the possibility of not having the support of departmental colleagues who are not involved in such programs. To encourage faculty participation, administrators provide financial, technical, and staff support

for faculty and use a personnel assessment system that values contributions to inter-institutional programs. The commitment to faculty is further emphasized by the guiding principle that instructional software to support course delivery should be whatever is easiest for the teaching faculty, not the student, since faculty interaction with instructional software is more complex than student interaction (each institution provides a support desk for students enrolled in their courses).

#### *Operational Policies*

Experts representing registrars, financial offices, continuing education, and graduate schools at member institutions recommend operational policies and procedures. A designated lead institution manages essential alliance functions (financial and data transaction oversight; alliance website maintenance; communications, governance, and program management support). The alliance holds no property and does not collect annual membership fees; financial support comes from student enrollments in courses and programs, in-kind contributions from partner institutions, and grants. According to Thomas Gibson, Treasurer of Montana State University, the rationale is quite clear: "First, we have a stake in the alliance only for those programs that we're directly participating in. Second, each participating institution pays the fee for each student that [it has] registered rather than paying a flat membership fee. So the cost is proportional to the level of participation by each institution. Third, only the students taking the alliance course are paying the fees, so that we can tell our administration and our Board of Regents that we're not paying new dues unless our students are directly benefiting from the process. Finally, we don't have to approach our institutions about coughing up

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new funds to pay for membership fees, . . . a key factor in increasingly tight fiscal times" (Gibson, video clip).

The institutions in our alliance have very different tuition/fee structures, each subject to the rules and regulations of their institution and state higher education governing bodies. However, the costs of delivering courses for alliance programs were relatively level from institution to institution. Some institutions had a financial advantage because of their institution's pricing structure and others were financially disadvantaged. After a study of the marketplace practices in distance education, the state mandates for tuition and fees, and the costs of program delivery, the chief financial officers of the ten member institutions formulated a scheme for distributing income to support costs: 75 percent to the teaching institution, 12.5 percent to the enrolling institution for administration and advising, and 12.5 percent to the alliance. They also coined a new term to describe the fees for alliance courses, as Warren Madden, Vice President for Business and Finance at Iowa State University, explains: "We found among all the different universities that tuition and fees mean different things at the different institutions and the different states. So we thought we'd come up with a new term that we could all accept, and we use the word 'common price'; that seems to be acceptable to everybody because it's no one institution's tuition and fee structure that's being used to develop this particular set of program costs" (Madden, video clip).

### **LEADERSHIP AND COLLABORATION**

As previously noted, a board of college-level administrators who elect officers from among their members leads the alliance. Inter-institutional alliances, like academic departments within universities, require good leadership and a commitment to collaboration and innovation. We have been fortunate in having a succession of leaders who have shared a broad vision of the possibilities of the alliance, and who have engaged the interest of their peers as well as that of university employees in nonacademic roles who are essential partners. We have also formed a variety of teams—inter-institutional faculty cohorts for each program and institutional teams composed of individuals from all parts of campus that serve the Great Plains IDEA.

At the core of the alliance is a network of positive, supportive relationships that support alliance functions. The policies that are in place were not developed until relationships had evolved to the point where differences

could be freely expressed, if not easily resolved. While the policies needed to meet the mandates of ten university attorneys operating under the laws of ten different states, they are only as solid as the relationships that led to their formulation; in a word, our trust is in people, not policies, and it is a testament to the founders of the alliance that the culture of collaboration that they encouraged has prevailed. There has been constant change over time both in terms of people and institutions, and although new participants need to get used to the principles and the culture of the Great Plains IDEA, they realize the value of the human relationships that drive the success of the alliance. In the words of Marjorie Kostelnik, Dean of the College of Education and Human Services, University of Nebraska-Lincoln, ". . . There is a cooperative spirit within this alliance. People sometimes think of that as being simply a group of people being nice to each other. This is more than nice. It is good business, because through this cooperative collective effort, we're . . . able to offer degrees that we couldn't offer otherwise. We're able to give the students who are enrolled in our programs access to students from all over the world and to faculty from all over the region, and as a result we are able to produce a higher quality product. So it isn't just a group of people being kind, although certainly that is part of it, but . . . in the end, it actually contributes to a better product . . . for the student, for the faculty, and for the institution" (Kostelnik, video clip).

For many reasons, it often seems hard for those of us in higher education to break the mold. There is a reason why this should be the case: we are quite good at doing what we do. But there are many reasons why this should not be the case: we are about the business of reinvention—of knowledge, of people, of cultures—and we should devote some of our attention to reinventing the enterprise of higher education. The Great Plains IDEA was conceived during a favorable climate for innovation, and given the current financial and competitive environment, it is recognized by university leaders as a model for the future. As Geoffrey Gamble, President of Montana State University puts it, "[The] Great Plains IDEA is fascinating because . . . embedded in it are two issues that are crucial to higher education today. Let me start with the distance learning part first. As you look

*At the core of the alliance is a network of positive, supportive relationships that support alliance functions.*

across the nation, . . . almost every year for the last decade . . . the largest and fastest growing segment of the population that wants higher education experience are people already in the workforce. The only way that they're going to get it is through a distance-learning model. And this model is perfect. It works very well. The other issue is the notion of partnerships. I'm convinced that the way of the future for all of higher education is to frame active partnerships with [the] private sector, . . . with [the] public sector. And here we have a partnership that's rich. It spans ten institutions coming together to provide the very best education possible for students" (Gamble, video clip). 

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# UNIVERSITY CONTINUING EDUCATION ASSOCIATION NEWS





Highlights/Overview of the 88th Annual UCEA Conference  
MARCH 28-30, 2003, CHICAGO, ILLINOIS

# *The Next University: Emerging Agendas*

*Daniel Shannon*  
UNIVERSITY OF CHICAGO

AT THE DAWN OF THE TWENTY-FIRST CENTURY, NEW realities are driving agendas for institutional change and raising questions about what the next university will look like. Note the following. Several years ago, Chester Finn argued in an Op Ed piece in *The Chronicle of Higher Education* that the Carnegie taxonomy of American universities was in need of an overhaul to reflect the new realities of American higher education. He was forwarding the work of the National Center for Postsecondary Education at Stanford. The taxonomy he proposed had the simplicity of identifying universities in terms of their markets: "brand-name," "mass provider," and "convenience" institutions. Of course, the Carnegie classifications did change, but the central concepts of the earlier schema remained in place. Nonetheless, Finn and the Stanford study signaled a changing reality about the market context for higher education. James O'Donnell, in a subsequent Educause article, makes a similar observation about the changing environment in which higher education operates, observing that "much of higher education is attached to a model that privileges the baccalaureate student who is 18 to 22 years old, studying full-time to obtain a degree in four years, and residing in institutional housing. These students are the privileged few—already a minority in American higher education in actual numbers but still dominant in the myths of what higher education is about." Asserting, in fact, that the reality differs significantly from the myth, with an increasing proportion of the student population well above the 20s, but that the consequence of

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the myth is a set of policies and an infrastructure that are sadly out of step with an important market reality.

Oxford University's recent efforts to recapture lost luster may be the contemporary metaphor for this dissonance in the alignment of fact and myth as it struggles with finances, mission, and demographics. The struggle is aptly captured in the *Chronicle* headline "Is 'Modern Oxford' a Sign of the Times or an Oxymoron?" David Cohen observes that in "recent years the world sometimes has appeared to be passing Oxford by" as its competition has surged ahead. A competition that appears to have figured out the changing landscape of higher education in Britain, including Cambridge, who apparently unselfconsciously has forged impressive partnerships, leveraging remarkable resources while not negatively affecting its brand, or the polytechnics, who are creating similar though less noteworthy partnerships with industry, leveraging resources that have translated into improved records of research productivity.

*If tectonic plates exist in the planes of our economic, social, geographic, and demographic reality, they are now shifting and will create new stresses that require adjustments in our structures and operations.*

young generation, increasing immigration, changes in the shape and character of markets, fundamental changes in the financial base of the university, increasing reliance on borderless knowledge as capital, and the increasing employment of alternatives to single command-and-control structures, such as partnerships, alliances, joint ventures, minority stakes, know-how agreements, and contracts?

Does this mean the next university will look like the present university? Drucker, in the November 2001 issue of *The Economist*, would argue probably not, and that if universities respond at all to changes in workforce, markets, and technology, their responses will create quite different kinds of organizations. For example, the "same legal entity, e.g., . . . a large not-for-profit organiza-

tion—may well contain several different human organizations that interlock, but are managed separately and differently." Changes of this sort, of course, are already happening: Apollo and the University of Phoenix; Unext and Cardean University; DeVry and the Keller School of Management, each a consequence of adjusting to changes in workforce, markets, and technology.

This, of course, is a period of uncertainty for continuing education organizations and our staff, as it is for our students and corporate clients, uncertainty driven by these macro global changes and more immediate effects of 9/11, the economy, and the Iraqi War. It should not, however, be a period of indifference. Mlodinow, describing the importance of Euclidian geometry in Euclid's Window shows the consequence of indifference: "Yeats wrote of Babylonian indifference, a trait that in mathematics, held them back from achieving greatness. Pre-Greek humanity noticed many clever formulae, tricks of calculation and engineering, but like our political leaders, they sometimes accomplished amazing feats with astonishingly little comprehension of what they were doing. Nor did they care. They were builders, working in the dark, groping, feeling their way, erecting a structure here, laying down stepping stones there, achieving purpose without ever achieving understanding."

It is in a period of uncertainty, with the desire for understanding, that unpacking the issues imbedded in questions about our changing world and the shape of the next university is a critical enterprise. It is this challenge that the 88th Annual Conference of UCEA, held in Chicago, sought to address. Thus, conference general sessions were diverse in their approach and content, spanning a broad river of thought regarding the future and the use of the university, ideas that provided a foundation for discussion in the concurrent sessions throughout the conference.

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In the conference's opening plenary session, "Ideas and Relationships: The Currency of the New Economy," Jon Low of CapGemini Ernst and Young's Center for Business Innovation argued that "achieving and sustaining a competitive edge in our economy will largely depend on how an organization manages both its financial assets and its intangibles." Low, in explaining the results of the Center for Business Innovation's research in application of the concept of intangibles to assessing the nonfinancial value of organizations—elements that cannot be easily seen, such as innovation, brand, technology, management capabilities, culture, and strategy execution—presented evidence of the efficacy of this approach in examining nonfinancial performance of organizations and illustrated ways in which these intangibles can be recorded, measured, and evaluated, creating alternative ways of explaining/demonstrating the value of an organization and focusing attention on ways to improve performance.

Martha Nussbaum, Ernst Freund Distinguished Professor of Law and Ethics in the Philosophy Department and the Schools of Law and Divinity at the University of Chicago, argued in her pivotal plenary session remarks, "The Liberal Education of World Citizens," for the need to develop a compassionate imagination as the basis for the assumption of global citizenship, an imperative for Americans, particularly in a post 9/11 world, to "take seriously the reality of lives outside America, and . . . [to] think of political events accordingly." Global citizenship takes the form of compassionate understanding and a commitment to justice for "millions who suffer, not only from war, but from daily preventable tragedies such as malnutrition and disease." In her remarks she asserted the essential role a liberal arts education may play in producing the sort of world citizen well placed to solve these problems.

Appeals to Aristotle and Marcus Aurelius, among others, helped frame the notion of "compassionate imagination." Aristotle argued that human compassion requires first that a serious thing happen to another, that this event is not their fault, and that we ourselves are vulnerable in similar ways. Thus our compassion forms a link between our self-interest and the reality of another person's good or ill. Nussbaum noted that this is a morally valuable emotion—"when it gets things right." She catalogued ways in which, however, this link or attachment is not achieved for people at a distance, for example, misreading the seriousness of a bad event. This may be attributable to the nature of compassion as it develops from childhood to adulthood, forming intense relationships

close at hand first and only then gaining a compassion for people who are more distant.

Marcus Aurelius, on the other hand, argued that “our moral task is to unlearn systematically all our local attachments, ‘not to be the fan of the Greens or the Blues at the races, or light-armed or heavy-armed gladiators at the Circus.’” Nussbaum finds this an unconvincing, if not uninviting, proposition, where getting rid of the “erotic investment in bodies, sports teams, family, nation . . . leads us into a strange world of justice without a basis in love, even-handedness . . . a life that is in crucial respects not human life any longer,” where the removal of attachments is at least the diminution or at worst the elimination of humanity. Can we live in those circumstances? Nussbaum rejects the course plotted by Marcus as a route to the goal of world justice, returning to Aristotle’s notion of compassion, even if it is not always reliable, “since we have not a more perfect motive.”

Thus, she argues, we need to develop a keen imaginative and emotional understanding of what our choices mean for those in a variety of conditions, and to possess an ability to move resourcefully between “perspectives of personal loves and cares to the perspective of the distance.” The idea of a liberal education plays a role in this development. And this, she contends, is a role for the independent college and university and, in turn, continuing education. Here she turns to Seneca, for whom a truly liberal education is “one that ‘liberates’ the mind, encouraging [the student] to take charge of his or her own thinking, leading to that Socratic examined life and becoming a reflective critic of traditional practices.” It is only this sort of education that will fully develop a person’s capacity for human respect, irrespective of social class, birthplace, or gender or ethnic origin. It is this concept of a “link between liberal education and a deeper and more inclusive kind of citizenship [that] has a special urgency in our times.” It is her contention that

*... If colleges and universities, including the outreach to adults, do not build a “richer network of human connections it is likely our dealings with one another will be mediated by impoverished norms of market exchange and profit-making.”*

if colleges and universities, including the outreach to adults, do not build a “richer network of human connections it is likely our dealings with one another will be mediated by impoverished norms of market exchange and profit-making.” So in her view, it is the task of the college and university to “cultivate the humanity of students so that they are capable of relating to other human beings not through economic connections alone, but through a deeper and wider set of human understandings.”

The notion of compassionate understanding was articulated in a more personal and local way by Freeman Hrabowski III, President of the University of Maryland Baltimore County, in his General Session keynote address, “Building a University for a Changing World,” where he emphasized the role of the university in developing a strong society and economy and the challenges ahead. “As I think about the next university and where we are as a nation,” he observed, “for the first time since the mid-point of the twentieth century, we cannot say that it is generally the case that every generation of Americans will necessarily be better off than the generation before it because millions of Americans who are poor—whether Black, Hispanic, or of any other group—may not continue to move up. The only way that we will see a difference is if we focus on education of all children. And as a university president, I should be as concerned about K-12 as I am about postdoctoral education.” An enlightened university, Hrabowski stressed, needs to be connected to its community in multiple ways—through K-12, through industry, through national and state agencies—and those connections will help ultimately to define the institution.

Throughout the conference, concurrent and communities of practice presentations, elaborating on the conference theme of the Next University, explored ways in which continuing education units and practitioners are responding to new conditions and realities through new markets, formats, tools, approaches, and delivery systems.

For example, the application to continuing education of the concept of value creation presented in the first general session by Jon Low was the subject of an opening concurrent session, presented by a team of senior administrators of the Graham School at the University of Chicago. This presentation documented the process used by the School to adapt the Value Creation Index, an alternative method of assessing organizational performance, developed by CapGemini. They began with the identification of seven critical drivers of school performance: leadership, brand, communication, reputation, technology and work processes, and human

capital. With these salient drivers as a framework, the team laid out the expected outcomes for each driver and the metrics that would be used to measure performance for each. The underlying expectation in the application of the Index is that by creating agreement on the fundamental drivers of performance, the School can focus its attention on those measures that will most affect its performance at any given time and make adjustments in performance to achieve the outcomes identified for each of the critical drivers.

In "New Formats to Fit New Markets and Retain Students," Dorothy Durkin (New York University), William Husson (Regis University), and Amy Marie Yerkes (The Johns Hopkins University) each explored how innovative formats can attract new students, retain current ones, and enliven continuing education programs. Dorothy Durkin provided an overview of points that should be considered by an institution before pursuing the use of alternative formats. She stressed the need to balance academic quality with providing widening access, selling the idea of using alternative formats to students and faculty, and determining when to use alternative formats. She emphasized using alternative formats in response to both external conditions—the economy and work culture—and internal considerations—retaining participants or attracting new participants and exploring new markets.

The question of whether "traditional colleges are committed to serving older adults students" formed the basis for William Husson's remarks. Drawing on his experience at Regis University, he described the fast track and accelerated programs he manages, addressing the needs of older students by moving from traditional semester formats to classroom-based eight- and five-week terms, in addition to other format options, including guided independent study and internet-based distance learning. Among key lessons from adopting these formats is that course format does not affect student performance.

In responding to several challenges in K-12 education, such as teacher shortages, low teacher retention rates, and the crisis in urban schools, Amy Marie Yerkes described how Johns Hopkins adapted its Master of Arts in Teaching program to these changing conditions with new recruitment strategies, a cohort structure, flexible schedules, and new electronic tools and resources in the electronic learning community, such as an online system that enhances information sharing through bulletin boards, chat groups, threaded discussions, and general resource sharing. She discussed how this

innovative web-based program has supported both student and professional development so successfully in the teaching program that it is being adopted for use in an emerging physician executive MBA program.

*The third approach is the increasingly preferred collaborative approach, which involves the faculty working in a team consisting of a program manager with an instructional technology background, and a distance education coordinator . . .*

An exploration of structural approaches to the development of new programs, specifically online courses, was the focus of Stella Porto, Christina Hannah, and John Aje of the University of Maryland University College in their presentation, "Toward a Systems View of Online Course Development." Staff members of the Graduate School at the University of Maryland University College have developed a systems framework for course development that includes three different structural or organizational approaches to online course development. The traditional approach, also referred to as the "craftsman" approach, is one in which faculty work individually to develop online courses. A second approach features subcontracts to outside adjunct instructors specifically to develop courses. The third approach is the increasingly preferred collaborative approach, which involves the faculty working in a team consisting of a program manager with an instructional technology background, and a distance education coordinator to facilitate communication between the program manager/designer and the faculty. Housing coordinators in academic departments further enhance this linkage between faculty and designer. In the view of the administration, this "structural remedy" is central to the success of the collaborative model.

A further advantage of the collaborative or team approach is the inevitable blurring between development and delivery of online courses. In other words, some development purposely continues as courses are delivered and therefore, development and delivery are not treated as separate processes. The quality of the course is enhanced as a result. The collaborative approach offers other benefits as well. Students in traditional face-to-face sections can have access to materials developed for the online sections. Keep-

ing materials and courses up-to-date is made easier, especially in subject areas that are dynamic and evolving. The collaborative approach leads to greater cooperation among faculty and promotes “shadowing” and other mentoring activities. Hence, both faculty and students benefit from this collaborative or partnership approach within University College.

Increasingly, partnerships and alliances are important tools for the development of new formats or delivery systems to respond to the changing realities of our practice. In “Alliances and Partnerships: Creating, Maintaining, and Assessing Value,” David Szatmary (University of Washington), Gary Matkin (University of California-Irvine), and Mark Taub (Editor-in-Chief Prentice Hall/Pearson) explored several dimensions of this increasingly important tool. David Szatmary laid a foundation by discussing the types and evaluation of successful partnerships, defining the roles of partners in such activities as marketing, licensing, program development, and commercialization; establishing criteria to evaluate the value of a collaboration, including brand value, location, and resources; and other elements of evaluation, including scope, commitment, performance standards, and brand use.

Mark Taub illustrated Szatmary’s points with a case study of Prentice-Hall/Pearson’s partnership with the University of Washington in developing computer programming learning products sold to retail outlets and free online courses on the Pearson-owned Learning Network. Gary Matkin stressed the importance and time needed to develop and maintain partner relationships, underscoring the importance of leadership to a successful partnership as well as the need for legal counsel in drawing up partnership agreements.

On a broader front, the changing environment in which continuing education operates in today’s college or university is causing many units to reconsider mission, cost structure, priorities, learning technologies, marketing, and customer support functions. In “Taking Strategic Planning and Repositioning to the Next Level,” Barbara Muesing (University of Minnesota), Gerald Rhead and Christine Geith (Michigan State University), and

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for traditional higher education and university-based continuing education. There is a general feeling that higher education offers no transparency to the public, and the public and legislatures do not understand nontraditional methods or formats like distance learning. There are growing demands

Margaret Gordon (California State University-Dominguez Hills) presented three approaches to planned change that responded to very different circumstances. The University of Minnesota created four core businesses and a cost attribution model as part of the effort to change the underlying culture of the unit. Michigan State University adopted a decentralized model dependent upon technology-mediated learning and alliances and partnerships to increase program activity, enrollments, and revenue. California State University-Dominguez Hills took advantage of its location, core program competencies, and new facilities, including a national training center for sports, to become the focal point and link between the University and the community.

While the structure and mission of each organization are distinct, they all adopted similar strategies to enhance their programs. In each, the process involved a strategic review of existing operations, a competitive analysis to determine institutional strengths, and the rollout of implementation plans, with clearly defined financial, enrollment, customer service, and branding benchmarks. A focus in core institutional capacities and competencies generated heightened support from senior administrators and faculty, more efficient operations, and new markets and partnership opportunities.

In a larger contextual or regulatory framework, Judith Eaton, Head of the Council for Higher Education Accreditation, and David Longanecker, Executive Director of the Western Interstate Commission on Higher Education, in their presentation "Must Accreditation Change to Address Accountability Expectations?" described new accountability demands that may be uncomfortable or inappropriate

for measurable learning outcomes, an issue on which higher education has lagged, and no clarity about who will develop additional measures. There is some interest in national standards, as was proposed at the K-12 level. The speakers agreed that these tendencies have intensified under the Bush administration and the Republican Congress, which wants something "clear cut." Eaton explained that proprietary "career colleges," which see the Bush administration as friendly, are among those pushing to base accreditation more on quantitative measures than peer review. In addition, new accrediting practices are raising questions about the regional structure of accreditation.

These descriptions are illustrative of the rich matrix of presentations describing new approaches to markets, formats, tools, and delivery systems, each contributing to a further understanding of the ways in which we might respond to the new challenges confronting continuing higher education and the New University at the beginning of the century. 

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# *The New Majority*

89th Annual UCEA Conference

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SAN ANTONIO, TX

THE NONTRADITIONAL WORKING ADULT STUDENT with family responsibilities describes the majority of higher education students today. Colleges and university continuing education programs are having to redefine whom they serve and how they deliver their offerings in the face of broad social and economic changes. By 2040, the United States is projected to become a “majority-minority” nation with no single ethnic or racial group in a majority. Most of the new jobs created in our knowledge-based economy now require at least some college. Worldwide communication networks enable higher education institutions to deliver programs around the world, with the result that continuing education now competes in an international marketplace.

A high quality, creative workforce is seen as the driving force behind economic growth. In his book, *The Rise of the Creative Class* (New York: Basic Books, 2002), regional economist Richard Florida of Carnegie Mellon University argues that those who use creativity in their work are central to economic growth in a knowledge-based economy. In the last decade, more companies moved to where the skilled people were—often in university communities—rather than expecting people to move to their jobs. This change is of key significance to our field.

It will no longer be sufficient to make incremental adjustments to the way we operate in today’s knowledge-driven society. Continuing higher education needs to change quickly along many dimensions. We must better understand today’s student populations in order to be able to address their expectations and needs. We must explore different ways of developing, delivering, and credentialing our programs in order to meet new realities. How can we best understand the challenges posed by the new majority and its potential impact on continuing higher education as we shape our programs for the future?

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## OVERVIEW OF THE 89TH ANNUAL CONFERENCE

The 2004 UCEA annual conference will provide a forum to explore how continuing higher education is evolving in the face of the expanding demand for our courses and programs. The conference will focus on four primary sub-themes or tracks:

- 1) Changes in our students.
- 2) Changes in workforce needs.
- 3) Changes in our reach.
- 4) Changes in our institutions.

### CHANGES IN OUR STUDENTS

- With 73 percent of all undergraduates now characterized as “nontraditional,” what are the implications for part-time degree programs, financial aid, and education program formats?
- What do we need to consider in developing programs for a highly diverse, multicultural student population, in terms of both content and pedagogy?
- Given that the majority of students begin their academic career in a community college, how can transfer from two- to four-year institutions be facilitated?
- In light of the increasing numbers of qualified students coming from low-income families, how can access to higher education be improved in the face of climbing tuition?
- Knowing that many US K-12 teachers have pupils from different cultures and whose first language is other than English, how can we best support these teachers’ professional development needs?
- As the US workforce ages, what types of continuous education will employers demand to maintain the quality of their workforce?

### CHANGES IN WORKFORCE NEEDS

- Higher education costs and student loan repayment obligations are increasing, with the result that fewer students are choosing service professions such as teaching, social services, law enforcement. What type of public policy initiatives would be required to encourage more people to prepare for service professions as either a first- or second-career option?
- Science and technology jobs continue to be in demand. Does continuing higher education have a role in retraining adults to fill science- and technology-oriented positions?

## OVERVIEW OF THE 89TH ANNUAL CONFERENCE

- The US military services are placing increasing emphasis on education and training as they find themselves involved in complex warfare, peacekeeping, and nation-building assignments. What are the opportunities for continuing higher education?
- Employers rely more and more on e-learning to develop their employees. What partnership opportunities might be available to continuing education for developing high-quality learning software?

### CHANGES IN OUR REACH

- The economics of e-learning favor consortia. How are institutions reaching consensus on common tuition and degree requirements?
- As distance learning providers proliferate, how can the average consumer identify high-quality continuing education programs?
- How can continuing education help faculty devise new ways of teaching students using new technologies?
- How are new technologies changing the nature of instruction, continuing education formats, and marketing strategies?
- As colleges and universities scramble to compete in the international distance education marketplace, what are the pedagogical opportunities, implications for student services, and marketing costs?
- What new models might universities in NAFTA develop to facilitate the exchange of education and promote cooperation?

### CHANGES IN OUR INSTITUTIONS

- How is continuing education's role being redefined at a time when colleges and universities are not only expected to provide formal education and scholarship, but also to support economic development, conduct basic research, offer professional expertise, and enhance the social and cultural life of a region?
- What are the implications of the movement to unionize part-time faculty?
- How might continuing education and co-op extension collaborate productively?
- How might the 2004 Reauthorization of the Higher Education Act affect institutional accountability practices?
- How is the growing population of nontraditional students in the university community affecting continuing education organizational structures? 

# *2003 UCEA Outstanding Program and Book Awards*

## **OUTSTANDING PROGRAM AWARD—CREDIT**

### **THE PENNSYLVANIA STATE UNIVERSITY**

Certificate Program: Applied Behavior Analysis (ABA)  
for Special Education

Edward Donovan, Director, Outreach Office of Statewide Programs

THE ALARMING SPIKE IN DIAGNOSIS OF AUTISM SPECTRUM disorders is well documented and has been making headlines across the United States. The disorder baffles the medical community and brings anguish and frustration to parents, teachers, and care providers. While there is no known “cure” for autism, the principles of Applied Behavior Analysis (ABA) have proven to provide effective intervention, improvement, and hope for victims of autism and their families.

Unfortunately, even the most devoted teachers and parents often lack skills and techniques for effective ABA intervention. Advanced education and professional certification opportunities exist, but until recently access to the requisite formal education has been limited and of uneven quality.

The Penn State ABA Certificate Program consists of four graduate-level courses. It was designed in 1998, at the request of the Pennsylvania Department of Education. While the ABA principles are applicable to a range of behavior challenges, the Penn State program provides focused, faculty-developed content on improving specific interventions with autistic children. Since the program was piloted in 1998, more than 800 special education teachers, counselors, and psychologists from seven states have enrolled in the program; 249 educators began the latest cohort in September 2002.

Based on established practices, Penn State faculty research, and hard-earned experience, the graduate-level certificate provides both the theory

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and application of ABA. A primary goal of the program is to prepare graduates for the national certifying examination. The Pennsylvania Department of Education, Bureau of Special Education, also offers a special credential to teachers who complete Penn State's program.

Penn State's ABA program has existed in a formative model since 1998, delivered via satellite, video conferencing, and live classes. To meet growing demand outside Pennsylvania and in response to student demands for flexibility, Penn State transitioned the program to a "semi-independent" model in 2001. Under the new model, students complete the first three courses (nine credits) using videotaped lectures by Penn State faculty, quizzes administered locally by proctors, and written projects, assignments, and examinations. A final course is embedded as a strand within the National Conference on Autism, delivered each summer at Penn State's University Park campus. This in-residence requirement provides face-to-face interaction with University faculty and national experts and differentiates the Penn State program from distance education or web-based versions.

At the urging of state and local school administrators, the program has been extended to cohorts in Connecticut, New York, Missouri, Tennessee, and New Jersey. Requests from China, Canada, France, and Sweden are being considered for 2003. Five consecutive offerings of the week-long National Conference on Autism have been completed, with enrollments as high as 1,450. The program receives high marks for quality courses and knowledgeable, responsive instructors. Internally, the program derives from a successful collaboration among various university units: media production, public broadcasting, conferences and institutes, marketing communications, and finance.

Penn State's ABA program reflects the very best elements of a successful CE program: it draws upon specific faculty expertise, addresses a serious societal need, and generates a positive revenue stream. Moreover, the program responds to a critical national need by expanding the number of professionals with expertise in the field of special education. Other institutions with expertise in ABA and special education could replicate this successful ABA Certificate Program in their state.

For details see: <http://www.outreach.psu.edu/StatewidePrograms>.

## OUTSTANDING PROGRAM AWARD—NONCREDIT

### CALIFORNIA STATE UNIVERSITY-NORTHridge (CSUN)

The Los Angeles County Training Academy: A collaboration of CSUN's College of Extended Learning (CSUN ExL), CSUN College of Business and Economics' Center for Management and Organizational Development (MOD), and the County of Los Angeles Department of Human Resources

**I**N 1999, THE LOS ANGELES DEPARTMENT OF HUMAN Resources and California State University-Northridge began extended conversations about the challenges of providing appropriate training for the county's 90,000 employees. Attention focused on the 13,000 employees in managerial and supervisory positions. Since as many as 30 percent of these managers and supervisors were eligible to retire by 2005, it was clear that the county would very soon confront enormous staff professional development and recruitment challenges. In the complex and demanding LA urban environment, county professionals need to be able to address the challenges of developing and implementing public policy, the service demands that arise in a multicultural urban environment, and changing workforce demographics. To succeed, county staff need to know how to work collaboratively across department lines and with community groups and service providers.

The solution crafted by CSU and the county was the LA County Training Academy. Now in its third year of operation, its success is widely recognized within the county. LA County continues to expand the number and range of programs developed through the partnership. CSUN's College of Extended Learning has expanded the collaboration to include other CSU campuses serving parts of LA County—Bakersfield, Dominguez Hills, Long Beach, Los Angeles, and Pomona—as well as regional community colleges and adult education programs at regional public schools. CSUN serves as the academic and administrative hub for this extensive venture. The breadth of the collaboration ensures that the best qualities of the county and each campus go into the Academy's curriculum. While many clients find the idea of working with a single institution appealing because it simplifies communication and program management, it means they forego the wider range of expertise of working with a variety of institutions. Sometimes working with only one institution creates political difficulties. CSUN ExL took an innovative approach by giving the client the advantage of a single

institutional contact for program planning and administration, plus the ability to work with a variety of institutions.

CSUN ExL and MOD collaborate closely to create and sustain the academy programs in partnership with LA County. Each program is custom-designed, beginning with extensive task and role analysis for each target group of LA County staff (that is, new and incumbent division chiefs, financial managers, and HR specialists). Task analysis includes focus groups, interviews, and / or questionnaires. The skills and abilities identified as most important become the foundation for program development. A team of faculty and LA County staff develops curriculum and program materials. This team is expanded to form the program's instructional team. Learning objectives are tied to role competencies. Programs are strong on building knowledge and conceptual skills, but also are tied directly to the work of LA County and the education needed to develop the capable practitioners the county needs.

Courses and modules are graded to allow student learning to be monitored. Grades become part of the county employee's student transcript at CSUN, and they receive continuing education units upon successful completion of the program. CSUN Certificates of Advanced Professional Development that have been offered thus far include 11 offerings each of Leadership Essentials for County Managers, and Managing Today: A Skills Approach, seven offerings of Staff Leadership: Analytical Tools and Techniques, five offerings of Building a Strategic HR Partnership, and one Contract Management program. Other custom-designed professional development programs include Future-Focused Leadership, Fundamentals of Fiscal Operation, Recruitment and Selection in a Strategic HR Environment, The Legal Environment, Employee Relations, and Discipline. New programs are being developed in Budget/Finance, Process Assessment, and an Executive Leadership Series.

CSU faculty teach approximately 80 percent of a course, while county experts cover material that students need to know should they advance into a higher-level position. This combination of faculty and practitioner expertise strongly links theory with practice. For each new program, potential instructors go through a "train the trainer" program in preparation for teaching. Instruction includes case studies, group projects, team teaching, projects that link current work challenges to new learning, critiques, writing assignments, and oral presentations. University faculty—rather than adjuncts—are the foundation of program development and instruction; 35

CSUN faculty have participated with a combination of 108 faculty members from the county and other campuses. The qualifications of instructors and careful matching to program content are reflected in the high rate of retention in the programs and the high rate of successful completion of the demanding certificate programs, which require an overall grade of B or higher. Approximately 830 employees have attended Academy Certificate Programs. In addition, more than 1,500 have attended one- and two-day workshops covering subjects in the areas of performance measurement and new leadership concepts.

The program, which received start-up funding from county and CSU grants, is currently funded by county grants and through a multi-year contract. Yearly amendments add funding and program requests to the original contract. The academic budget for 2002-03 was \$1,700,500. The county fully funds the Academy, including the full tuition cost for each LA County staff member participating in academy programs. The contract also covers the costs of all components of task analysis, the train the trainer program, new program development, program review and improvement, program costs to collaborating colleges and universities, internal marketing, site costs, parking for program participants, course materials, website development/maintenance, development of online/computer-based courseware, special speaker fees, and administration of the overall collaborative effort, including CSUN ExL support staff.

The actual formatting of the yearly working budget is innovative. The full budget outlines all new revenues and expenses contained in the new fiscal year's contract amendments. The budget also shows the funds rolling forward and total dollars available within each expenditure category. Each budget line item is annotated with an accompanying booklet of notes that explain the calculations and a basis for cost estimations. The budget, designed by CSUN ExL, is shared with clients as well as collaborators. In this way, the budget becomes a planning and communications tool, as well as the basis for effective financial management.

## FRANDSON AWARD

*Unlocking the Clubhouse:  
Women in Computing*  
Jane Margolis and Allan Fisher  
MIT PRESS, 2003

UNLOCKING THE CLUBHOUSE: WOMEN IN COMPUTING IS the winner of UCEA's 2003 Frandson Award. The book, written by social scientist and educator Jane Margolis and computer scientist and educator Allan Fisher, investigates why fewer women than men are entering and becoming influential forces in the arenas of computing and the computer-reliant professions. It is based on research about women and computer science at Carnegie Mellon University, one of the top computer science departments in the country. During the life of the research project, women's enrollment went from seven percent in 1995 to 42 percent in 2000.

The book is an interesting and important resource for those in continuing higher education. The authors explore how women are reared and educated, and what changes in educational strategies might be needed to encourage more women to enter computer-related fields. It should be of interest to continuing higher education professionals who have direct responsibility for developing preparation and in-service programs for K-12 educators, as well as those responsible for developing degree programs for working professionals and continuing professional education programs.

The authors provide useful insights to those designing programs for women at the college level and to teachers who develop K-12 programs that will affect young girls and influence their choices as adults. The book can also inform the practice of continuing higher education program design—instructional strategy, course design and content, assessing student achievement and providing feedback, mentoring, and student support services. Co-author Jane Margolis, an alumna of the Harvard University Extension School in Cambridge, MA, notes, "My hope for this book is that it will show how educational institutions—even those that have been the most male dominated—can change, and that women are not the deficit." She adds, "Continuing education has a special place in my heart since I took a long, long break between undergraduate years and wanting to

#### 2003 UCEA OUTSTANDING PROGRAM AND BOOK AWARDS

go back to grad school. When I decided to return to school, I started at Harvard Extension and got my ALM in Psychology. That allowed me to go on to the Harvard Graduate School of Education for my EdD. I taught at Harvard Extension before we moved from the area . . . I have always been the biggest fan of continuing education. " 



# BOOK REVIEWS





# *Increasing Faculty Diversity: The Occupational Choices of High-Achieving Minority Students*

*Stephen Cole and Elinor Barber*

HARVARD UNIVERSITY PRESS, 2003

HERE HAS BEEN SUBSTANTIAL CONTROVERSY SURROUNDING Cole and Barber's book, *Increasing Faculty Diversity: The Occupational Choices of High-Achieving Minority Students*.

When I was invited to review the volume, I agreed but with some reluctance. Previous reviews led me to believe that the authors' research concluded that affirmative action programs created the shortfall in faculty racial and ethnic diversity. The authors argue that underrepresented minority students who were admitted to selective and highly selective colleges typically had lower credentials than admitted whites or Asians and consequently received lower grades during their undergraduate years. The underrepresented minority (that is, URM) students, in fact, performed slightly lower than what one would have expected given their secondary school grades and SATs when compared to the grade predictions for white students based on these variables. Understandably, the authors found that grade averages and confidence in ability to do academic work were related to choosing a career as an academic. Consequently, these results discouraged URMs from choosing an academic career. Cole and Barber suggest that had students who were initially interested in being professors attended schools where their credentials were comparable to those of admitted whites, they would have had comparable GPAs, as well as the confidence in their intellectual abilities to pursue PhD degrees. Hence, it was affirmative action programs that created "unintended consequences," to use the phrase of *The Chronicle of Higher Education*, which the authors propose are at fault.

However, Cole himself supplies the fatal flaw in this argument. He writes, "Given how few minorities are admitted to this small number of top-ranked schools, the issue of racial preferences seems to be primarily symbolic rather than utilitarian" (page 206). The recommendation that affirmative action be dropped, which seems strangely archaic after the Supreme Court's decision on the Michigan case, clearly would not solve the problem of increasing faculty diversity. Furthermore, such a course would eliminate all of the well documented benefits of affirmative action in general.

While the ill conceived anti-affirmative action recommendation does stand out in this work, other helpful conclusions can be drawn from this five-year research effort that a more thorough reading provides. Surprisingly, the book supports and suggests ways of enhancing current efforts in higher education to support underrepresented minorities, especially those in highly selective schools. It provides a rather extensive treatment of minority students and the causes that change their interest in academics. Much can be learned from their shifts in career choice from freshman to senior year. Yes, the population choosing an academic career is small and needs to increase—but the elimination of affirmative action programs would reverse the progress we have made in the numbers of URM s currently pursuing doctoral degrees in the arts and sciences. Now, with the support of Justice O'Connor's decision, efforts to increase these numbers will continue.

I should mention that I strongly believe in affirmative action given the findings in the powerful volume by Bowen and Bok, *The Shape of the River*, as well as the results from years of my own research. In fact, the research on students in law schools that I conducted with Gary Orfield, of Harvard's Civil Rights Project, was used in the Michigan defense and cited by Justice O'Connor in her decision to demonstrate that diversity is a compelling interest for institutions of higher education. The monumental work of Bowen and Bok has clearly demonstrated that the underrepresented minorities in their sample, though slightly overmatched on academic credentials, went on to have outstanding careers as a result of having attended selective and highly selective colleges. Contemporaries of the Bowen and Bok student sample who did not attend selective colleges were not as successful professionally. When one thinks of the quality of preparation for an academic life in the most intellectually demanding colleges and universities, would there be any rationale for selecting a less

competitive route? Having stated my position, let me extend this review by drawing on Cole and Barber's summary.

The authors start by citing the article "Diversity: Walk the Walk and Drop the Talk," by Cliff Adelman, whose research on universities' outreach programs found that "social skills" was the course most frequently offered and that preparatory courses for college ranked fifth and sixth in this list. Clearly, the authors support the Adelman recommendation that adding strong academic offerings to outreach programs would improve their effectiveness. Most of us could argue that some outreach programs do have skewed priorities. Strong academic preparation for all students, especially underrepresented minorities whose secondary schooling is often not challenging, is necessary before these students begin their college years. Such academic preparation, we know, markedly improves graduation rates.

The authors also suggest increasing the number of admitted minority students who have an interest in academia. Since the number of underrepresented minorities is relatively small in selective colleges, the authors believe that URM applicants who have an interest in academic professions should be given preference in the admissions process. Seventy percent of entering URM freshmen chose college teaching as a desired profession. Thus, the authors recommend that a question about career intent be added to the college application. With this information, it certainly would be possible to admit more students expressing an interest in teaching and fewer students who wanted to be physicians—the most popular career choice among underrepresented minorities. Choice of major is frequently used in the decision process—admissions committees, for example, do often smile upon potential classics majors.

Cole and Barber also strongly recommend increasing commitment to students in a number of ways after admission. Many schools have advisors for future doctors and lawyers—why not for students interested in becoming professors? The authors suggest that a staff person with such responsibilities could be appointed.

According to the authors, every university should have a program such as the Mellon Minority Undergraduate Fellowship (MMUF), which is clearly effective in drawing African-American and Latino students into academia. The authors suggest preparing a videotape on the life and work of faculty members about which these students know little. Increasing faculty-student contact was also strongly supported. Cole and Barber further recommend

personal support in labs associated with science courses—courses in which URM students typically have the most problems. Another suggestion is the creation of tutoring programs, like those found in a number of science departments, that point URM students toward teaching as well as research and practice. According to the authors, these are all activities that would ultimately increase faculty diversity.

The authors believe there may be some truth in the hypothesis that there exists an ethnic subculture devaluing academic performance. Their solution entails provisions that could be made to increase the interaction among those who are interested in academic achievement so individuals can find others with similar interests.

Cole and Barber also note that guidance counselors often point their minority students to the most prestigious schools to which they are ultimately admitted; however, they argue, counselors should point their students to schools where they will do well. While this argument is often used by anti-affirmative action proponents and could be viewed as an anti-affirmative action recommendation, it is advice often given to whites and Asians as well as to URM students, so I feel it carries no negative baggage.

Cole and Barber believe that all of these suggestions would increase the number of URM students who would become academics. It is unfortunate that their suggestions have been ignored because of the attack earlier in the book on affirmative action programs.

Other problems in reading this book for those who support affirmative action are the researchers Cole and Barber choose to cite when supporting their arguments. The authors use the work of Hernstein and Murray, Tom Sowell and Shelby Steele, and would probably have used the most recent one made by Clarence Thomas had it been available, to suggest that affirmative action is bad policy. The authors' position is that African Americans can achieve equality without the use of "training wheels." For example, the authors contend that without affirmative action, these students would know that their intellectual merits earned their admission to highly selective colleges. Then, with their superior academic achievement, they would become leading academics taking their rightful position among the important professorships in the country. Unfortunately, the premises upon which this scenario is based are simply not tenable.

The formative educational experience of so many URM students, while not limiting their long-range achievements, does make it impossible for

them, as a group, to do as well as their white and Asian peer groups, especially with regard to college admissions competition and later, undergraduate GPAs. Some are lost by being overmatched, but the survivors can and do make remarkable contributions. Without affirmative action, the numbers would be much, much smaller, as recent evidence in Texas and California demonstrates. By enacting strong affirmative action programs and incorporating the recommendations cited above, an even greater percentage will continue on to the academic careers they began as students. Even so, there will be a shake out; some students will not fulfill their original plans to be professors, but those who do will know they meet the highest standards of the academy. How else can we create a multicultural society of outstanding achievement? We cannot do so, as Justice Scalia suggested during the Michigan trial, by making our institutions mediocre.

Claude Steele, Professor of Psychology at Stanford University, whose work (as well as that of his more conservative brother Shelby) is often quoted in this book, shares my view that Cole chose the most conservative interpretation of his data. Steele states that, "his argument against affirmative action is simply unwarranted—way beyond the ability of his data to prove. I can interpret the data as opposing his anti-affirmative action argument."

It is somewhat ironic that Elinor Barber once broached the idea of this study to Neil Rudenstine, then president of Harvard University. The study was then sponsored with support from the Ivy League Presidents and the Mellon and Ford Foundations, all of which strongly support affirmative action. Some have stated that Ms. Barber's untimely death may have left an unfortunate legacy in the interpretation of these data.

I spent more time on the last pages of the book—the endnotes and footnotes—than I would normally, for they were informative and did give one the sense of the care underlying the many analyses. Those who are modestly interested in technicalities will find them of interest. This is a well-written book, but for many it may seem data heavy. In spite of what many consider a fatal flaw, I do feel there are merits to this effort and recommend that readers take seriously many of the analyses the authors have conducted.

Unfortunately, for all the effort that went into this volume, Cole fails to recognize the march that so many URM students have made to great achievement. We should applaud those students who triumphed over numerous adversities and chose to attend the most intellectually demanding institutions to which they were admitted and from which they ultimately

## INCREASING FACULTY DIVERSITY

took PhD degrees. Had the book celebrated these achievements, which its statistics in many ways support, it would have been a technical treatise, celebrating the triumph of the human spirit. As such, it could have joined the ranks of volumes that are a positive influence in creating a successful multicultural class of educators in our society. 

*Reviewed by Dean Whitla,  
Lecturer on Education,  
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# *The Future of the City of Intellect: The Changing American University*

*Edited by Steven Brint*

STANFORD UNIVERSITY PRESS, 2002

ON DECEMBER 29, 1962, CARL BRIDENBAUGH, University Professor at Brown University and out-going President of the American Historical Association, gave his presidential address at the Association's annual meeting at the Conrad Hilton Hotel in Chicago:

Here in Chicago, this evening, I propose a causerie, a sharing with friends and colleagues some of my thoughts about history and its possible future in a kind of Lakeside chat. I ask your permission to speculate out loud. Or, perhaps, it is my duty as your President to report on the state of the profession and to suggest tentatively some measures to be taken for the benefit of ourselves and our posterity.<sup>1</sup>

Bridenbaugh then launched into a characterization of the academic environment in his discipline that he described as "high tragedy." He claimed that the state of affairs was not quite "the crumbling of a civilization round and about me," but what Professor Bridenbaugh goes on to describe in terms of a deeply sad nostalgia is the end of his world.

What world? Bridenbaugh tells us: "Today we must face the discouraging prospect that we all, teachers and pupils alike, have lost much of what the earlier generation possessed, the priceless asset of a shared culture."

As the 1960s dawned, this distinguished American historian looked back on a tradition in American higher education that was shaped in the countryside, villages, and small towns of colonial America and the

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United States. This was Protestant America, not without its struggles and contentiousness, but still possessing a common thread. The divisiveness stemmed from the individual denominations' desire for separation from each other, which led them to establish their own educational institutions under the flag of their religious preference. Harvard, Princeton, Yale, William and Mary, and the earliest postsecondary schools were dedicated to the moral and religious education of the clergy and parishioners. Brown was for the Baptists, Princeton for the Evangelical Presbyterians, later the Wesleyans were for the Methodists. As long as this remained a nation of immigrants, mostly from Europe and overwhelmingly Protestant, there would remain a common sense of purpose and destiny across the higher educational establishment, Bridenbaugh's shared culture. Within one generation, the German-speaking students at Moravian College and those from Germantown who attended Penn were answering questions in English. By the time the huge wave of Irish Catholics arrived in the 1840s, there was not much religious difference to be seen among the colleges. The appearance of large numbers of Catholics looking for a higher education opportunity was enough to draw the Protestant wagons in a circle. The Church, for its part, preferred to keep its students to itself, and the founding of the University of Notre Dame (1842), The College of Holy Cross (1843), and Boston College (1863) followed the Protestant model of separation whenever possible.

The genuine secularization and democratization of higher education in America came with the Morrill Act of 1862 that created the great public university system in this country. The legislation led to open doors for women as well as for secular and observant students who simply did not want any compulsory religious activities to mess around with their education. (Nonetheless, the American instinct for keeping distance between groups found the perfect device at the state universities: the fraternity system, which flourished because it still could discriminate.) The land-grant idea even spread to the African-American population in the United States. Between 1862 and 1900, especially in the wake of the "separate but equal" doctrine validated by the Supreme Court in *Plessy v. Ferguson* in 1896, dozens of historically black institutions were created.

In all of this frenzy of postsecondary growth in the United States, Professor Bridenbaugh's shared culture remained intact. American higher education was firmly in the hands of teachers and scholars trained in a common cause and a common vision. For the most part, this vision was in the

hands of Anglo-Saxons and Protestants at mediocre institutions that could not rival their European counterparts. But, there was a common moral and ethical foundation that formed the historical destiny of this country. This uniqueness of the American experience made generations of scholars feel secure. They wanted no change.

Yet, change was coming. The first hint of trouble came, as they might have expected, from abroad. The German university model took hold with the establishment of The Johns Hopkins University in 1876 and a new benchmark degree that would transform American higher education and lead eventually to Professor Bridenbaugh's unhappiness: the PhD research degree. In an effort to emulate the German research universities, American scientists who were also leaders in education were eager to establish the first American research universities. Daniel Coit Gilman at Johns Hopkins, G. Stanley Hall at Clark, and Charles W. Eliot at Harvard—all German-trained—were the enthusiastic champions of the new degree and its potential. By the turn of the century, many American academicians were troubled by what this new research agenda was creating. In his famous 1903 article, Harvard's William James deplored "the increasing hold of the PhD Octopus upon American life."<sup>2</sup> Forty years later, Jacques Barzun repeated James's warning, with the same metaphor: "The octopus has the young teacher in its grip and does not let him go."<sup>3</sup> Barzun noticed that the research degree, initially intended for the physical and biological sciences, had now added the "social" sciences to its advocates and believed that it was inevitable that the humanities would rush to emulate. The need for prestige was just too important, and methodological rigor provided the credentials. (Bridenbaugh in his farewell address: "The finest historians will not be those who succumb to the dehumanizing methods of social sciences, whatever their uses and values, which I hasten to acknowledge. Nor will the historian worship at the shrine of that Bitch-goddess, *quantification*." (Bridenbaugh's emphasis.)

The research university was here to stay and destined to play an increasingly important role in American society. The Germans had shown the way. During World War I, they combined the power of the university, the state, and industry. When Professor Fritz Haber won the 1918 Nobel Prize in Chemistry for research that had been the basis of his war-related work on poison gas, it provided the model for the successful building of an atomic weapon in World War II. In the physics labs at Columbia,

the field house at the University of Chicago, and on to the desert of New Mexico, American academic scientists collaborated with industry and government. This was the beginning of big science at the service of the state. Vannevar Bush's advocacy of federally funded science research represented the culmination of the new degree's prestige. It shaped the environment for future grantsmanship, first in the sciences, later in the social sciences and humanities. Here was the foundation of the City of Intellect and all that it has come to mean in our times. This was also a world of which Bridenbaugh and his generation would want no part. He went on in his address to demonstrate a small-minded bigotry that inveighed against "the urban-bred scholars of today," code for Catholics, Jews, and any other kind of outsider that he resented.

In the preface to this visionary collection of essays, which grew out of a conference held at the University of California-Riverside in 2000, Clark Kerr speaks, without knowing it, back across a few academic generations directly to Bridenbaugh and his sense of loss. Don't lament, he says, what we have now is infinitely richer: "There is less sense of community than in the village but also less sense of confinement. There is less sense of purpose than within the town, but there are more ways to excel." But this bracing world of higher education at the opening of the new millennium is daunting, at times for the older scholar and teacher a little terrifying, and incalculably more complicated than Bridenbaugh and his contemporaries could have ever imagined.

The 12 essays, which follow Kerr's historic journey back to the 1960s, touch on all of the complexities facing the American research university—particularly the 80 or 90 that Kerr would describe as "multiversities," the city of infinite variety. Part I deals with the demographic and economic forces of change. Randall Collins looks at the larger issues that result from a system with more than 4,000 colleges and universities, 1,500 of which are community colleges, and the demand for credentials in the American mass education society, where access to selective institutions becomes an increasingly greater challenge; and what about the faculty for this enormous system? Patricia Gumpert asks us to consider the extraordinary explosion of knowledge and wonders how the universities will face the pressure from industry and government to apply research for the common good. She asks the big question for basic research: Will tomorrow's research universities provide as safe a home for intellect as they do for marketable expertise? Roger Geiger examines the limited competitive advantage of the private

university in attracting high-ability students and gives credit to the great public universities for making their product so attractive. Walter Powell and Jason Owen-Smith look into the future and wonder what the relationship will be between universities, private firms, and the faculties they both need to advance life sciences.

Nothing has been as stunning as the change wrought on academic civilization by technology and technological forces of change. The only comparison that comes to mind is Europe in 1450, when at all the universities there were 100,000 carefully nurtured manuscripts, illuminated and elegant. By 1500, Johannes Gutenberg gave the world one technological breakthrough, and the result was nine million books. This technology also created religious conflicts, barbarism, and destruction on a scale hitherto unseen in Europe. The Internet and digital media have had a similarly revolutionizing impact on the research university. It is not death and destruction that we need worry about on campus, however. The question is: What will happen to teaching and learning? And what about us? What will happen to us? Carol Tomlinson-Keasy is the optimist who believes in the flexibility of faculty and students to triumph in the new age. Richard Lanham is not so certain that the sequestered world of the university campus is the best environment to take maximum advantage of these changes. Like Peter Drucker, he thinks it possible that many universities will fall by the wayside because they will not be able to compete. David Collis demonstrates the potential challenge and inventiveness of for-profit firms to increase their share of the online market.

All of these changes have by necessity altered the fields of knowledge that we once familiarly knew. Part III takes us on a journey of fields and organizations. Andrew Abbott focuses on research in the humanities and social sciences and on impediments to change, such as the traditions of "majors" and "departments." Steven Brint looks beyond the arts and sciences disciplines and the rise of what he calls "the practical arts." Sheila Slaughter charts the waters of a theory for curriculum formation, why curricula change and the forces that bring this change about.

Part IV provides us with some familiar names and steadier ground as it explores governance and academic change. In the essays of Richard Chait and Burton Clark we hear the voices of Christopher Jencks and David Riesman, but Chait and Clark take us to the edge of the future and make us wonder what role the faculty or administration will have when off-campus agents of change represent the seat of power and authority.

There is nothing in these several hundred pages to give Professor Bridenbaugh any peace of mind. The collective wisdom of these scholars points to a world of change, anxiety, and excitement. Nothing will be secure, nothing will be certain other than the American higher education enterprise will remain, in spite of everything, the envy of the world. ☺

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#### FOOTNOTES

- <sup>1</sup> "The Great Mutation," *American Historical Review*, Vol. 68, pages 315–331.
- <sup>2</sup> Quoted by Theodore Ziolkowski, "The Ph.D. Squid," *The American Scholar*, Vol. 59, Spring 1990, page 178.
- <sup>3</sup> Ziolkowski, *ibid.*

# Capsule Reviews

Perrault, George, and Lunenburg, Fred C. eds. (2001). *The Changing World of School Administration*. The Scarecrow Press, Inc., 4720 Boston Way, Lanham, MD 20706; 401 pages.

**T**he *Changing World of School Administration*, the tenth annual yearbook of the National Council of Professors of Educational Administration (NCPEA), contains 25 essays that detail the challenges for K–12 administrators in public schools ranging from demographic changes within schools to external pressures from school boards, all of which is filtered through organizational structures that make it difficult to implement change. The grouping of the chapters—invited essays, leadership preparation, leadership in practice—attests to the wide-ranging mix of the philosophical (“Understanding the Discursive Practice of Educational Administration”) and practical (“Addressing Mentor-Principals’ Lifelong Learning Needs”), the political (“Standardized Testing and Educational Standards”) and the personal (“The Man in the Principal’s Office (Re)Visited by a Woman”), with a common emphasis on leadership.

Among the more thoughtful articles is M. McCarthy’s inquiry into the implications of “consumer-based models of schooling” (“The Changing Environment for School Leaders: Market Forces,” pages 91–108). Higher education has already seen the impact of market forces, particularly in the area of continuing education, but McCarthy makes it clear that we all need to monitor a trend whose growth “means that the purposes, basic structure, and core values of public education in our nation are fundamentally changing” (page 105). “Politics and the Socialization of Superintendents” (L. Björk, et al.) is also thought-provoking as it describes “the dissonance between superintendent roles and school board political configuration” (page 294) and explains that it is not enough for superintendents to be professionally competent; they must also be politically socialized and recognize that they function in a highly charged political context.

Aspiring principals and superintendents as well as K–12 school administrators will find much of interest in this collection of essays, and the

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challenge for higher education is made clear in the book's opening pages: ". . . There will be a more than ten percent increase in openings for principals in the next six years. And that does not include principals needed for new schools in the five most populated states, nor does it include administrators in other positions in school districts. With only a few more than 500 universities having administration preparation programs, one must pose the question, are we in higher education truly ready . . . to train even the 8,000 principals needed in the next five years?" (Terry, page 3).

Knox, Alan B. (2002). *Evaluation for Continuing Education: A Comprehensive Guide to Success*. Jossey-Bass, Inc., 989 Market Street, San Francisco, CA 94103-1741; 334 pages.

**E**valuation for Continuing Education specifically addresses the needs of administrators who coordinate the full range of adult and continuing education programs, including "extension, training, literacy, community development, staff development, and continuing professional education" (page xiv). Although global in their application, the tools, concepts, and procedures that Knox provides become more meaningful because of the examples he gives that are specific to continuing education. Moreover, Knox stresses to readers the importance of using the examples to reflect on their own situations and of contextualizing the book's guidelines. By describing the "why of evaluation as well as the how" (page xi), he seeks to make readers reflect upon the deeper meaning or embedded values of a program or activity, rather than implement evaluation plans unthinkingly, and to assume the uniqueness of each evaluation project.

The book's 12 chapters are unevenly divided into three parts: basic evaluation concepts and rationale (three chapters), application to various program aspects (eight), and guidelines for improving evaluation practice (one). The first part establishes a conceptual framework that helps readers choose the appropriate chapters from the second, which is the core of the book. Program aspects covered in individual chapters include assessing educational needs, a program's context, goals and policies, employee performance (including that of volunteers), learner participation, the program itself, educational materials and delivery systems, and outcomes and impact. Each chapter in this section ends with a checklist of guidelines divided among concepts, planning, and coordination. The sole chapter of the final part reviews the guidelines for planning and evaluation in a

general manner but is drawn from among the summaries at the end of each of the core chapters.

In sum, *Evaluation for Continuing Education* is a well-organized reference work that continuing education administrators will appreciate for the practicality of its approach as well as its reflectiveness.

Colby, Anne; Ehrlich, Thomas; Beaumont, Elizabeth; and Stephens, Jason (2003). *Educating Citizens: Preparing America's Undergraduates for Lives of Moral and Civic Responsibility*. Jossey-Bass, Inc., 989 Market Street, San Francisco, CA 94103-1741; 332 pages.

**C**ompleted in the aftermath of 9/11 and prior to the war against Iraq, *Educating Citizens* appears at a critical moment in the reshaping of the American moral consciousness. The authors remind us that "the belief that there are essential moral and civic dimensions to knowledge and learning is deeply rooted in American intellectual and educational traditions" (page 26), and argue persuasively on behalf of the need for undergraduate moral and civic education. They are realistic enough to acknowledge the barriers that make it difficult for campus leaders and faculty to implement higher education's civic mission: "conflicting priorities and competing interests, confusion about mission and goals, disciplinary fragmentation, a narrow vocationalism, a great separation between academic and social life on campus, and a disturbing gap between the college and the larger world" (page 6). They are nevertheless convinced that it is possible as well as desirable for institutions to improve academic learning through "pedagogies of engagement" that stress civic and moral responsibility.

By using the example of 12 institutions that have made civic and moral education a priority, Colby and her co-authors offer case studies that span the range of higher education, from the community college to the research university. Despite their differences, they have in common a high level of commitment from the president, key administrators, and faculty toward developing "holistic and intentional programs of undergraduate moral and civic education" (page 50). The cases are specific enough that many of the approaches can be applied to individual courses, majors, or programs, rather than at the broader institutional level. But at every level, the authors are clear that no matter what the scope or setting, the object should be "to educate for substantive values, ideals, and standards" rather than "be content with what is sometimes referred to as *values clarification*" (page 11). That is, they

do not believe in “value-neutral” environments, but believe that “there are some basic moral principles, ideals, and virtues that can form a common ground to guide institutions of higher education in their work, including the work of educating citizens in a democracy” (page 11).

Although the book is concerned with undergraduate education, it does not assume that moral and civic learning can only take place between the ages of 18 and 22. For this reason, there are valuable lessons that are applicable to any learning situation, including the educational experiences offered through continuing education. 

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